

Complete Policy Title:

Policy Number (if applicable):

**McMaster University Revised  
Policy And Regulations  
With Respect To  
Academic Appointment, Tenure And  
Promotion [2012]  
[Tenure and Promotion Policy]**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**June 10, 1970  
September 29, 1970**

Supersedes/Amends Policy dated:  
**March 11, 2009  
May 7, 2009**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

**McMASTER UNIVERSITY REVISED  
POLICY AND REGULATIONS WITH RESPECT  
TO ACADEMIC APPOINTMENT, TENURE AND PROMOTION (2012)**

*Table of Contents*

<b>Section I</b>	Preamble.....	1
	Delegation of Powers .....	1
	The Nature of Academic Tenure .....	1
	Definitions .....	2
<b>Section II</b>	Appointment to the Teaching Staff .....	4
	Classes of Appointment.....	4
	Tenure-Track and Teaching-Track Appointments .....	6
	Appointments for Contractually Limited Periods .....	7
	Procedures for Making Full-time Appointments.....	9
	Reports to Senate.....	13
<b>Section III</b>	Academic Assessments for Re-appointment, Tenure and Promotion.....	14
	Introduction.....	14
	The Nature of an Academic Assessment.....	14
	Effective Teaching .....	14
	Scholarly Achievement .....	15
	University Responsibilities.....	17
	Specific Criteria.....	17
	For Tenure and Promotion to Associate Professor.....	17
	For the Tenuring of Associate Professors and Professors.....	18
	For Promotion to Professor .....	18
	For Permanence of a Teaching-Track Position .....	18
	For Promotion of a Teaching-Stream Faculty Member .....	18
	Timing of Academic Assessments.....	19
	Procedures Governing Academic Assessment.....	22
	At the Department Level.....	22
	At the Faculty Level.....	25
	At the Level of the Senate Committee on Appointments .....	28
<b>Section IV</b>	Appeal Procedures.....	32

<b>Section V</b>	Suspension of a Faculty Member .....	36
<b>Section VI</b>	Procedures for Removal .....	37
<b>Section VII</b>	Termination of a Teaching-Track or Permanent Teaching Faculty Position .....	42
<b>Section VIII</b>	Implementation, Promulgation and Revision .....	43
<b>Appendices</b>	Appendix A - Pertaining to the Faculty of Health Sciences.....	45
	Appendix B - Supplementary Policy Statements .....	46
	*Appendix C - Reduced Workload Provisions While on a Tenure-Track or Teaching-Track Appointment .....	49

**\* Appendix C deleted as of July 1, 2012. See SPS C5 for relevant information.**

## SECTION I

### Preamble

1. This policy, with respect to academic appointment, tenure, permanence, and promotion, applies only to full-time faculty and to those faculty members who hold appointments requiring at least the equivalent of three-quarter service, which may be spread through the year or given as a block within a year; such equivalence shall be interpreted as three-quarters of the time normally required to meet the responsibilities of full-time appointments. The requirement of at least three-quarter service as defined above may apply to faculty holding tenure-track or tenured appointments, teaching-track or permanent teaching appointments, and special appointments or continuing appointments without annual review.

Hereinafter, reference to full-time faculty shall be taken also to mean faculty on three-quarter time.

### Delegation of Powers

2. *The McMaster University Act* (1976) assigns to the Board of Governors, subject to certain provisions, the powers “to appoint, promote, suspend or remove...the members of the teaching staff of the University.” Appointments with tenure, and promotions, are therefore legally conferred at McMaster University by the Board of Governors upon such persons as may be nominated by the Senate and recommended by the President.
3. With regard to appointments, *The McMaster University Act* and the By-laws of the Board of Governors delegate to the President of the University the power to make appointments that are for a stated period of time.

The power to suspend a member of the teaching staff appointed to the University under the terms of this policy has been delegated by the Board of Governors to the President.

In matters having to do with the removal of a member of the teaching staff, the Board of Governors may decide to delegate its responsibilities to a committee of the Board.

4. The By-laws of the Senate delegate to the Senate Committee on Appointments the Senate’s responsibilities for:
  - a. deciding upon all recommendations from the Faculties having to do with the granting of tenure or permanence to, or the promotion of, members of the teaching staff, and informing Senate of its actions;
  - b. receiving the decision of any Hearing Committee (established under Section VI of this policy) on the removal of a member of the teaching staff, recommending to and consulting with the Board on any such recommendation for removal, and informing Senate of its actions.

### The Nature of Academic Tenure

5. a. Tenure, for the purposes of this document, is defined as an appointment held by a full-time member of the teaching staff of the University that cannot be terminated before that member’s retirement except for cause under the conditions specified below. Permanent teaching appointments (see Section II, clause 4(f)) and continuing appointments without

annual review (Section II, clause 4(d)) can be terminated other than for cause, as specified in Sections VI and VII and Section II, clause 4(d), respectively.

- b. Tenure provides an effective safeguard for academic freedom, which includes, *inter alia*, the following rights: independent inquiry and criticism; participation in the making of academic policies; and the exercise of honest and unfettered judgement on matters both inside and outside the University (see the Senate-approved Statement on Academic Freedom: Appendix B, SPS E1).
- c. Tenure entails acceptance by a faculty member of the obligation to perform conscientiously his or her functions as a teacher and as a scholar, and to assume reasonable University responsibilities. To qualify for tenure, the individual shall have demonstrated academic excellence.
- d. Tenure shall be granted only by a definite act, under stipulated conditions, on the basis of merit alone. The University's financial circumstances shall not be a reason for withholding tenure from a faculty member qualifying for tenure by merit. Further, a faculty member's salary history shall not be provided to, or considered by, the committees reviewing the cases for tenure and/or promotion.

### **Definitions**

6. In the context of this policy, the following definitions apply:
  - a. "Department" means a formally recognized academic Department, School, Area or section of a Department, where appropriate.
  - b. "Provost" means the officer who is the Provost and Vice-President (Academic). "Dean of Graduate Studies" means the officer who is the Associate Vice-President and Dean of Graduate Studies.
  - c. "Faculty Appointments Committee" means the committee comprising the Faculty Dean as Chair, the Provost, the Dean of Graduate Studies and the Department Chair as referred to in Section II, clause 16(d).
  - d. "Guideline" means any interpretation of the University's criteria for tenure or permanence and promotion, as described in this policy document, that has been reviewed and approved by the Senate Committee on Appointments. Such guidelines shall not constitute any part of this policy and to the extent that any guideline is in conflict with this policy or any part hereof, this policy shall supersede any guideline.
  - e. "Program" means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.
  - f. "Supplementary Policy Statement" (SPS) means any statement of policy and/or procedures, other than those described by this document, that relates to matters of appointment, tenure, permanence, or promotion. Changes to these statements, listed in Appendix B of this document, are subject to Section VIII, clause 4 of this document. In the event of an

inconsistency or conflict between this policy and any of the supplementary policy statements, this policy shall take precedence.

Other terms are defined in the text of the document.

## SECTION II

### Appointment to the Teaching Staff

1. As noted in Section I, under the terms of *The McMaster University Act* (1976) and the By-laws of the Board of Governors, the President has the power to make appointments to the teaching staff that are for a stated period of time.
2. A resignation from the teaching staff shall be deemed to be effective from the date specified by the person resigning, once the resignation has been received and acknowledged by the President. That receipt and acknowledgment will normally precede, but may follow, the date of resignation. The date of the resignation may have a bearing on whether or not it is appropriate to consider formally a recommendation for tenure/permanence and/or promotion of the faculty member concerned (see Section III, clause 36).

### Classes of Appointment

3. “Appointment” in this document means full-time appointment (except as allowed for in clause 5 below) to the rank of Professor, Associate Professor, Assistant Professor, or Lecturer, in a formally recognized academic Department or Departments. An appointment may also involve participation in a Program or in the work of another Department. These arrangements may take the form of “joint” appointments or associate memberships as described in SPS A5 (Appendix B). In exceptional circumstances (for example, the teaching needs of a Program at a particular point), an appointment may be made to a Program only (rather than to a Department or to a Department and a Program), but such appointments may occur only within the contractually limited class of appointments described in clause 4(g) below. The number of such exceptions and Programs to which the appointments have been made shall be reported annually to the Senate and the Board of Governors by the Provost (see clause 19 below).
4. There are three streams of appointment at McMaster University: tenure-stream (tenure-track and tenured), special-stream (special and continuing appointment without renewal), and teaching-stream (teaching-track and permanent teaching). In addition, there are contractually limited appointments. This results in seven classes of appointment:
  - a. **Tenure-Track:** those that imply that, at the end of a stated period, the University will confer tenure on the candidate, or extend the period of appointment, or allow the appointment to lapse.  
  
A tenure-track appointment shall be made only at the rank of Assistant Professor, Associate Professor or Professor.
  - b. **Tenured:** those that confer tenure.  
  
An appointment to McMaster University that confers tenure from the date of appointment normally may be made only at the rank of Professor. However, an outstanding candidate who already holds tenure at another university may be considered for an appointment that confers tenure from the date of appointment at the rank of Associate Professor.
  - c. **Special:** those appointments for persons who receive their salary support from funds other than those allocated by the University; these are similar to the tenure-track appointments

described in subsection (a) above except that continuation of the appointment, for the length of the designated period, is contingent upon the member's receiving continuing salary support from his or her outside funding agency for that designated period. Any reference throughout this document to tenure-track appointments shall be taken also to mean special appointments.

A special appointment shall be made only at the rank of Assistant Professor, Associate Professor or Professor.

- d. **Continuing Appointment Without Annual Review:** those full-time appointments that are similar to appointments that confer tenure in every respect, save one: the continuation of the appointment is contingent upon the member's receiving and continuing to receive salary support from his or her outside funding agency. Any reference to tenured appointments and to the granting of tenure shall be taken also to mean continuing appointments without annual review and to the granting of such status (see also Appendix B, SPS A10).

An appointment to McMaster University that confers continuing appointment without annual review from the date of appointment normally may be made only at the rank of Professor. However, an outstanding candidate who already holds tenure or the equivalent at another university may be considered for an appointment that confers continuing appointment without annual review from the date of appointment at the rank of Associate Professor.

- e. **Teaching-Track:** those made for teaching purposes specifically. Teaching will be the primary expectation of these positions. Teaching-track faculty are expected to keep abreast of developments in the discipline in which they teach, and are to consult colleagues with relevant specific research expertise. While there will be no requirement to engage in research, those teachers who have an interest are encouraged to enhance their classroom teaching and broaden the scope of their educational activity by engaging in such scholarly activities as curriculum development and evaluation, mentoring, and research into the efficacy of different pedagogical approaches; and to share this expertise with their colleagues. These appointments will most likely focus on teaching introductory or other non-specialized courses. The positions create opportunities for individuals who are prepared to devote themselves primarily to teaching within an academic environment. Such appointments are made in the first instance for a stated period, similar to tenure-track appointments. At the end of that period, the University will grant permanence to the candidate in the teaching-track position, or extend the period of appointment, or allow the appointment to lapse. These appointments shall be made only to the ranks of Assistant Professor, Associate Professor, or Professor. Any reference in this document to tenure-track appointments shall also be taken to mean teaching-track appointments, unless otherwise specified. The major exceptions deal with the maximum length of the teaching-track appointment (clause 6(b)(iv) below), the assessment of scholarly achievement (Section III, clause 11), and the decisions on permanence of the appointment and on promotion (Section III, clauses 19-27). Teaching-track appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field. See Section VII for details regarding the procedures.
- f. **Permanent Teaching:** those made only for teaching purposes that confer a permanent position. They may be made only at the rank of Assistant Professor, Associate Professor, or Professor. Any reference in this document to tenured shall also be taken to mean permanent



teaching unless otherwise specified. The major exceptions deal with the assessment of scholarly achievement (Section III, clause 11), the timing of promotions (Section III, clauses 30 and 33-35) and eligibility for membership on Departmental and Faculty Tenure and Promotion Committees (Section III, clause 38 b). Permanent teaching appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field. See Section VII for details regarding the procedures.

It is not possible to make an appointment to McMaster University that confers a permanent teaching position from the date of initial appointment to the University.

- g. **Contractually Limited:** those made for a contractually limited period which shall carry no implication of renewal or continuation beyond the period and no implication that the appointee will be considered for a tenure-stream, special-stream, or teaching-stream appointment.
5. As stated in Section I, clause 1, this policy applies not only to full-time faculty, but also to those faculty who hold appointments requiring at least the equivalent of three-quarter service. The letter of appointment to these faculty shall clearly indicate that their appointments provide for three-quarter time service, or greater, as appropriate.

Tenure may be offered to faculty who satisfy the three-quarter time requirement provided that their appointments have been approved by the Faculty Appointments Committee in accordance with the recognized procedures for full-time faculty (clauses 15-17 below). Subject to this requirement, the policy and regulations with respect to the academic appointment, tenure and promotion for such faculty shall be the same as those described for full-time faculty, except that the time limits referred to in Section III, clauses 28-35 shall be interpreted as years of full-time equivalence.

### **Tenure-Track and Teaching-Track Appointments**

6. a. The purpose of a tenure-track or teaching-track appointment is to provide a period of mutual appraisal for the University and the candidate. Such appointments do not express or imply ultimate granting of tenure or permanence, nor do they express or imply promotion to a higher rank. The case for tenure or permanence, or for an extension of a tenure- or teaching-track appointment, shall be the subject of an academic assessment focusing on the candidate's abilities and accomplishments as a teacher, scholar and University citizen, as appropriate for the position. The criteria and the procedures for this assessment are described in Section III of this document.
- b. Except in the situations described in clause 7 below, the total duration of a person's tenure-track or teaching-track appointment(s) shall not exceed the time limits specified in subsections (i), (ii), and (iii) below.
  - i. For a person initially appointed to this University as a full-time Assistant Professor, the total duration of his or her tenure-track appointment(s) shall not exceed six years from the date of that first appointment.
  - ii. For a person initially appointed to this University as a full-time Associate Professor, the total duration of his or her tenure-track appointment(s) shall not normally exceed four years, and in no case shall it exceed six years, from the date of that first appointment.

- iii. For a person initially appointed to this University as a full-time Professor, the total duration of his or her tenure-track appointment(s) shall not exceed three years from the date of that first appointment.
  - iv. For a person initially appointed to this University in a full-time teaching-track position at any rank, the total duration of his or her teaching-track appointment(s) shall not exceed six years from the date of that first appointment.
7. The time limits specified in clause 6(b) above may be extended in the following situations:
- a. when the candidate has been granted special, parental and/or sick leave (see Appendix B, SPS C3-C6);
  - b. when the candidate has been granted a reduced workload in accordance with the conditions set out in Appendix B (Reduced Workload Provisions) or in accordance with the University's Policy on Employment Accommodation;
  - c. when a faculty member has had an unusual career path (for example, he or she undertakes further graduate work or his or her career is redirected during the period of his or her tenure-track appointment(s) at this University).

In all of the above cases, the duration of the extension must be approved by the Faculty Appointments Committee on recommendation of the Department Chair. Any decision to change the time limits specified in clause 6(b) above must be confirmed in writing via a letter from the President, copied to the Department Chair and signed back by the faculty member.

8. a. No tenure-track appointment shall be changed to a contractually limited appointment during the period of the tenure-track appointment.
- b. Faculty members appointed to tenure-track appointments do not have their positions converted to, or followed by, teaching-track appointments. Similarly, faculty members appointed to teaching-track appointments do not have their positions converted to, or followed by, tenure-track appointments. Rather, if such positions in the faculty member's area of expertise become available, the faculty member applies to the advertised position on an equal footing as other candidates.
- c. Faculty members appointed to special or CAWAR appointments normally do not have their positions converted to tenure-track or tenured appointments when external salary support is lost. Rather, if such a position in the faculty member's area of expertise becomes available, the faculty member applies to the advertised position on an equal footing as other candidates. However, in exceptional circumstances, a Faculty Dean, on the recommendation of the Chair, may consider it appropriate to recommend that an appointment be converted without initiation of a new fully-advertised search. The protocol for such a conversion is described in Appendix B, SPS A2.
9. For the purposes of this document, all tenure-track appointments shall be deemed to begin on July 1 coincidental with or next following the date of first appointment to this University.

#### **Appointments for Contractually Limited Periods**

10. a. A contractually limited appointment shall be made only:

- i. to fill a special instructional need, especially when there is no reasonable assurance of a long-term need in the area concerned;
    - ii. to staff a new course or Program for a trial period as determined by the appropriate University body;
    - iii. to allow for appointments to the rank of Lecturer;
    - iv. to provide for visiting appointments;
    - v. to fulfil functions as determined by a research contract or award covering a specific period only and for which renewal or continuation is not assured;
    - vi. to allow for the appointment in the Faculty of Health Sciences of faculty members whose primary responsibilities lie in the areas of clinical service and/or administrative duties in the health care delivery system; and/or
    - vii. to provide for an appointment at a time when the University's financial position is so severe and uncertain that the normal commitment to a tenure-track or teaching-track appointment would be imprudent.
  - b. The appointee shall be informed, in the letter of appointment, of which one or more of the preceding seven categories the appointment is being made in and of the terms and conditions surrounding the appointment.
11. In making new contractually limited appointments, the following conditions shall be observed:
- a. The starting date and the length of the appointment shall be clearly stated in writing.
  - b. The duration of the contract will normally be for a period of at least one year. Exceptions to the minimum one-year appointment length would be allowed only in cases such as the following:
    - i. when a contract becomes available after July 1 of the year in question but is for two terms or more, in which case the contract will run until June 30 of the following year;
    - ii. when a contract is needed to replace a faculty member taking a leave of less than a year's duration (though not for less than a term);
    - iii. to allow for short-term appointments of individuals holding full-time appointments elsewhere (though not for less than a term's duration).
  - c. The McMaster University Faculty Association will be informed annually in October of all appointments (since the last report) of less than 12 months' duration and the reasons for the appointments.
  - d. The procedures for selecting a person for a contractually limited appointment shall be as similar to the procedures for making tenure-track appointments (Section II, clauses 15-17 below) as the category of contractually limited appointment allows.

12. In renewing contractually limited appointments, the following conditions shall be observed:
  - a. The individual will undergo an academic assessment by the Department Tenure and Promotion Committee during the final year of the contract, or at the first possible date for contracts with a duration shorter than one year. The candidate will be informed by the Faculty Dean of the outcome of the assessment by December 15 for individuals who have been at the University for more than one year and by March 1 for individuals who are at the University for their first year. This decision is independent of any financial considerations about the position and is meant to inform the candidate that they would, or would not, be awarded the position if the position were to be funded in the coming academic year.
  - b. The decision to fund the position will depend on the financial circumstances of the Faculty in question. The Faculty Dean shall inform the Department Chair and the individual whose contract is about to expire whether or not the position is to be renewed as soon as a decision concerning funding has been made, and no later than June 1.
  - c. Any renewal of an initial contract must be for 12 months or more.
  - d. The maximum period that such appointments shall cover is six years. (See also Appendix A, clause 1).
  - e. If it is known before the deadline for the academic assessment that the position will cease to exist at the termination of the current contract, no academic assessment need be done. The candidate will be informed, in writing, of the termination of the position by December 15 for multi-year contracts and by March 1 for one-year contracts.
13. Normally, a person on a contractually limited appointment will not be eligible for promotion. When a Department wishes to recommend promotion of such a person, they should follow the normal promotion procedures as described in Section III, clauses 19-27.
14. Contractually limited appointments may be followed by tenure-track or teaching-track appointments, at the option of the University. Normally, the candidate shall spend five years in full-time service before being granted tenure or permanence. However, the appointee may ask the Faculty Appointments Committee to take into account the length of the service under the contractually limited appointment(s) when determining the eligibility of the appointee for consideration for tenure or a permanent teaching position. The earliest opportunity for assessment for tenure or permanence shall be clearly stated in the letter offering the tenure-track or teaching-track appointment. Notwithstanding the opportunity for early consideration for tenure or permanence, the terms and conditions spelled out in Section III clause 28(a) shall apply also. The protocol for such a conversion is described in Appendix B, SPS A2.

### **Procedures for Making Full-Time Appointments**

15. The procedures for making full-time appointments in the Faculty of Health Sciences may involve requirements additional to those specified below, such as implied through affiliation agreements and licensing bodies. Other Faculties may have requirements concerning Foreign Academics as well. Certain provisions relating to part-time faculty appointments are described in Appendix B, SPSA3 and A4.

16. The various supplementary policies on appointments referred to in Appendix B reflect the administrative structures and arrangements which are in place at a particular time and they may be changed from time to time. Nevertheless, the following provisions should always apply in the making of full-time appointments:
- a. Early in each academic year, and by November 1 if possible, there shall be a review of the number of new full-time faculty to be appointed for the following academic year. Decisions on the number of new appointments will be made by the President after consultation with the Provost and Vice-President (Academic) and others whose advice he or she may seek. Decisions on the distribution and rank of new appointments will be made by the Provost following consultation with Faculty Deans and the Dean of Graduate Studies. The number of teaching-stream positions in each Faculty needs to be considered in light of the numbers specified in SPS A9. The procedures that follow shall apply to all new appointments, whether for new positions or for replacements, and to the renewal of contractually limited appointments where appropriate.
  - b. The Faculty Dean and the Department Chair shall ensure that the Department is fully informed of the nature of the vacancy, including the rank at which the appointment may be made and whether the vacancy is for a tenure-stream, special-stream, teaching-stream, or contractually limited appointment.
  - c. The Faculty Dean shall ensure that consultation on the appointment takes place within the Department, either through a duly constituted Appointments Committee or through other acceptable means. The Department shall arrange for proper advertising of the position, for locating qualified candidates, for obtaining necessary papers, including letters of reference, and for inviting the candidates judged to be the more promising ones to the campus for interviews. SPS A1 specifies the requirements for the recruitment and selection of new faculty members.
  - d. A Faculty Appointments Committee shall be constituted as follows:
    - i. the Faculty Dean as Chair;
    - ii. the Provost;
    - iii. the Dean of Graduate Studies;
    - iv. the Department Chair and/or the Program Director.

When a candidate is being considered for appointment to more than one Department, or to a Department and an interdisciplinary Program, or for a contractually limited appointment to an interdisciplinary Program only, the membership of the Faculty Appointments Committee should be augmented to include the appropriate Faculty Deans, Department Chairs, and/or Program Directors.

- e. All candidates will be interviewed by members of the Faculty Appointments Committee (see 16 d. above). The Department Chair or delegate is responsible for scheduling interviews for each candidate and for ensuring that all members of the Faculty Appointments Committee receive complete files and references for each candidate prior to the interview.
  - The Faculty Dean (or in the case of the Faculty of Health Sciences, a delegated Associate Dean) and the Dean of Graduate Studies (or an Associate Dean of Graduate Studies) must interview all candidates.

- Normally, the Provost (or delegate) will interview all candidates for tenure-track, teaching-track and special appointments.
  - For potential appointments to the ranks of Professor or tenured Associate Professor, an interview must be arranged with the President and Provost.
  - For appointments to the Special or CAWAR stream, where the primary responsibility will be as a Clinical Educator (see Appendix A), the individuals named in 16 d. above who are outside the Faculty should be offered an opportunity for an interview, but such interviews are not mandatory as they are for other candidates.
- f. The Faculty Dean will be responsible for bringing together the views of the members of the Faculty Appointments Committee and those of the Department. While the Committee will not normally hold formal meetings, the Dean is responsible for communicating – and attempting to resolve – minor differences among Committee members in the ranking of candidates. If the Dean is unable to resolve such differences, he or she shall convene a meeting of the Faculty Appointments Committee.
- g. Whenever there is a substantial disagreement within a Department concerning an offer of appointment, the Department Chair, accompanied by a Departmental colleague whose opinion on the appointment differs from that of the Chair, should meet with the Faculty Appointments Committee in order that the Committee is fully informed of the differences of opinion about the appointment within the Department.
- h. Whenever there is a substantial disagreement between a Faculty Appointments Committee and a Department, the Faculty Committee shall consult the Department. The Department Chair may, at his or her discretion, insist on a meeting of the Faculty Committee with all tenure or teaching-stream members of the Department.
- i. Whenever a substantial disagreement over an appointment continues to exist, the Faculty Appointments Committee (as defined in subsection (d) above) shall be expanded by three persons as follows:
- i. The first person shall be the Chair or a former Chair of another Department in the Faculty in question chosen by the individual party to the disagreement. When the disagreement is between the Chair and the majority of tenure or teaching-stream faculty members in the Department in question, that person will be chosen by the Chair. When the disagreement is between the Faculty Appointments Committee and the Department, that person will be chosen by the Dean.
  - ii. The second person shall be the Chair or a former Chair of another Department in the Faculty in question chosen by the group that is party to the disagreement using the University's standard preferential balloting process. When the disagreement is between the Chair and the Department all tenure or teaching-stream faculty members in the Department other than the Chair are entitled to vote. When the disagreement is between the Faculty Appointments Committee and the Department, all faculty members in the Department including the Chair are entitled to vote.

- iii. The third person shall be named by the President from among the full-time faculty of the University.

The procedures to be used by the expanded Appointments Committee in receiving submissions from interested parties, in deliberating on the issues surrounding the disagreement and in making its recommendations to the President are left to the discretion of the Committee.

- j. When parties are in agreement, the Faculty Dean will communicate the recommendation of the Faculty Appointments Committee for a new appointment in writing to the Provost, with copies to the Committee members. The recommendation shall include all information on the terms and conditions of the appointment, specifically: rank, salary, effective date and duration of appointment, contingent features relating to completion of the PhD, and any other special stipulations bearing on the terms and conditions of the appointment.
- k. The Provost shall ensure that any new appointment that is also to include the immediate conferral of tenure has the approval of the appropriate Faculty Tenure and Promotion Committee and the approval of the Senate Committee on Appointments before a formal letter of appointment is prepared for the President's signature; the Senate Committee shall forward the recommendation for tenure through the Senate, for information, to the Board of Governors (see Section I, clauses 2-4). In the absence of the President, but with the President's approval, the letter may be signed by the Provost. A copy of the letter of appointment, once signed, will be sent to the Provost, the Faculty Dean, the Dean of Graduate Studies, and the Department Chair.

The letter of appointment and the Tenure and Promotion Policy constitute the entire agreement between the University and the appointee with respect to his or her appointment, and the letter of appointment shall contain a statement to this effect. In addition, the letter of appointment shall indicate that any changes or promises of changes in the faculty member's appointment status (e.g., extension of appointment, tenure, permanence, and/or promotion), in order to have effect, must be communicated to the faculty member in a letter bearing the President's signature.

- l. In the case of new appointments that do not immediately confer tenure, all letters of appointment to the ranks of Lecturer, Assistant Professor, Associate Professor or Professor will be forwarded by the office of the Provost to the President for signature. A copy of the supporting material will be provided for the President. The President retains discretion over and responsibility for appointments as stated in the *University Act* and the By-laws of the Board of Governors. While it is expected that he or she will normally act on advice when it reflects a consensus, he or she reserves the right to accept an appointment recommendation, to reject it, or to refer it for further consideration and advice to the Senate Committee on Appointments or to any other person or body. A copy of the letter of appointment, once signed, shall be sent to the Provost, the Faculty Dean, the Dean of Graduate Studies and the Department Chair. The Provost shall forward to the Senate Committee on Appointments the recommendation for appointment together with necessary supporting material for the Committee's information. In the absence of the President and with his or her approval, the letter may be signed by the Provost.
- m. If the candidate accepts the offer of appointment, a copy of the appointment letter will then be sent by the President's Office to the Human Resources Department. Notification of the

acceptance or rejection of the offer of appointment will be sent by the President's Office to the Provost, the Faculty Dean, the Dean of Graduate Studies and the Department Chair.

17. In the making of all appointments to the teaching staff, the Faculty Appointments Committee shall ensure that all relevant University policies and procedures are adhered to, including those listed in Appendix B, SPS A1 – A11.

### **Reports to Senate**

18. At the first Senate meeting in each academic year, the Provost shall report to the Senate and the Board of Governors in open session the total number of full-time faculty in the seven categories of appointment (see clause 4 above) as of June 30 of the current year. This information shall be reported by Department and summed by Faculty for each of the previous five years.
19. At the same meeting of Senate, the Provost shall also report to the Senate and the Board of Governors in open session the total number of contractually limited appointments made in each of the categories listed in clause 10(a) above, by Department and Program for the past five years. The number of appointments in each of these categories as of September 1 of the current academic year shall be included in the table.
20. A list of all Adjunct and Visiting appointments of three months and more also must be provided by the Provost to Senate in September of each year. Visiting appointments of less than three months are reported to the Dean for information (SPS A3 and A4).



## **SECTION III**

### **Academic Assessments for Re-appointment, Tenure, Permanence, and Promotion**

#### **Introduction**

1. The renewal of a faculty appointment and the awarding of tenure, permanence, and/or promotion shall only be done following an academic assessment of the faculty member concerned.
2. Academic assessments shall focus on the abilities and achievements of the faculty member as a teacher, scholar and University citizen as appropriate for the position. (See clause 8(a) below and also Appendix A.) Academic assessments shall be initiated at the level of a candidate's Department and, depending on the circumstances, may involve other Departmental Committees, Program Directors and referees. The criteria, timing, and procedures for the assessments are described below.
3. In Section I of this document, the statement is made that tenure entails acceptance by a faculty member of the obligation to perform conscientiously his or her functions as a teacher and as a scholar, and to assume reasonable University responsibilities. The roles of teacher and scholar are the principal ones and, as is made clear below, the meritorious performance of University responsibilities cannot substitute for either of these roles. In a research-intensive university like McMaster, teaching and scholarship ideally interact with one another. The scholar does not merely relay information, but through active involvement in the discovery of knowledge exposes students to the process as well as the product of scholarly inquiry. Hence, to qualify for tenure and promotion, a faculty member must be involved successfully in both teaching and scholarship and have demonstrated academic excellence.
4. Similarly, acceptance by a faculty member of a permanent teaching position carries with it the obligation to perform conscientiously his or her functions as a teacher, and to assume reasonable University responsibilities. The role of teacher is the principal one; the expectation for a permanent Teaching Professor is continued exceptional teaching as the primary way by which academic excellence is demonstrated. In keeping with the research-intensive nature of McMaster, this teaching role will ideally (but not always) be complemented by scholarship related to teaching. Examples include contributions to curriculum development beyond the course level, and presentations or publications on teaching or pedagogy.

#### **The Nature of an Academic Assessment**

##### **Effective Teaching**

All faculty are expected to maintain a Teaching Portfolio as outlined in SPS B2. A teaching portfolio is a record of a faculty member's teaching methods, accomplishments and goals. One purpose of a teaching portfolio is to represent the faculty member's involvement in teaching to potential reviewers. The portfolio is owned by the faculty member and may contain any and all information that the faculty member wishes to document.

5. A candidate for re-appointment, tenure and/or promotion must demonstrate that he or she is an effective teacher. Committees, in judging teaching effectiveness, shall seek assurance that the candidate has a scholarly command of his or her subject, is both willing and able regularly to assist

- students in understanding the subject, and is able to assess students' performances in an equitable and effective manner.
6. A candidate for permanence must demonstrate that he or she is an excellent teacher. The required standard of performance is higher for teaching-stream faculty than for tenure-stream because this is the primary criterion by which teaching-stream faculty are judged; there are not two equally important criteria as there are for tenure-stream faculty.
  7. Teaching encompasses the selection and arrangement of course topics and materials, lecturing, leading class and seminar discussions, assisting students during office hours, laboratory and studio teaching, marking of student submissions (especially when editorial comments are given to the student), the setting of examinations that permit accurate assessment and continue the learning process, and the supervision of student research at both the undergraduate and graduate levels. Teaching-stream faculty are not normally expected to be involved in graduate courses or supervision, although it will sometimes be possible (as, for example, in the MBA Program).
  8.
    - a. The assessment of a candidate's teaching shall be based on student and peer evaluation. SPS B1 provides direction as to the mechanism for achieving this.
    - b. While questionnaires are an accepted way of assessing undergraduate teaching effectiveness, interviews with students are preferred for the assessment of graduate instruction and supervision.
  9. The Department Chair shall ensure that questionnaires used in the evaluation of teaching are properly conducted, collected, processed and recorded. The Chair, at an appropriate time, shall discuss the evaluations with the faculty member and provide contextual information (see SPS B1, III).
  10. Before the Departmental Tenure and Promotion Committee forwards its recommendation to the Faculty Tenure and Promotion Committee, it shall provide the candidate with an opportunity to comment on or provide an explanation for any evaluation of the candidate's teaching which is part of the Departmental submission (see SPS B1 and SPS B12).

### **Scholarly Achievement**

11. The search for new knowledge, whether in the form of new understandings of the natural world or new interpretations of the human one, is an essential part of the role of the modern university. Hence, it is expected that all tenure-track and tenured faculty members will be engaged in some form of scholarly activity and the assessment of the quality of this work will be a key factor in the consideration of each faculty member's case for re-appointment, tenure and/or promotion. As is discussed in clauses 26-27 below, scholarship in teaching or pedagogy is required for promotion for teaching-stream faculty. In those assessments, these same guidelines should be followed, except for the number of external evaluations.
12. It is generally accepted within the university community that an assessment by other scholars working in the same field, or closely related fields, is the best way of determining the quality of scholarly work. This assessment finds expression in the acceptance of papers and manuscripts for peer-reviewed publication, in academic awards and the approval of research grants, in invitations to present conference papers and university seminars, in critical reviews of published works, in exhibitions or performances, and in confidential letters of reference (see clauses 13 to 16 below).

The weights to be assigned to these different forms of assessment will vary from discipline to discipline and from one decision to another. But the awarding of tenure and the granting of promotion will require that an appropriate assessment of the candidate's scholarly achievements has been made by carefully chosen peers and that they have attested to the high quality of the candidate's work.

13. In all cases where it sends forward a recommendation relating to tenure and/or promotion of a tenure-stream faculty member, the Department shall have obtained written judgements on the quality of the candidate's scholarly work from at least three referees outside of the University. Care shall be taken to ensure that the referees are at "arm's length" from the candidate. In addition, when such a candidate is being considered for promotion to the rank of Professor, the referees must be scholars with respected national and/or international reputations who can assess whether the candidate is known widely on the basis of scholarship, however that may be defined in the discipline in question. (An exception to this requirement is defined in clause 43(b) below.)
14. A list of at least six possible referees known for their work in the relevant field(s) shall be prepared by the Department Chair in consultation with the Faculty Dean and, in the case of a faculty member who participates in a Program, the Director of the Program. The candidate shall be shown this list and may object, and give reasons for objecting, to any person or persons on it. The candidate shall confirm in writing to the Chair that she or he has seen the list of candidates and has had an opportunity to register any objections. The Departmental Tenure and Promotion Committee shall consider any such objection(s), but shall retain the right to select the referee(s) in question and shall inform the Faculty Tenure and Promotion Committee of the objection(s) and its decision(s) concerning the referee(s) (see also Appendix B, SPS B6).
15. There may be occasions when, in addition to the references sought from outside the University, others are solicited from scholarly referees within. In such instances, the same procedures for selection as are described in clauses 13 and 14 shall apply to the extent that that is possible.
16.
  - a. In the case of **tenure-stream appointments**, at least three external letters must be obtained, but all letters received must be made part of the file (SPS B5).
  - b. In the case of **teaching-stream appointments**, letters of reference from external sources are **not** required as part of the process for granting permanence.
  - c. **Promotion of teaching-stream faculty with permanence** to the rank of Associate Professor requires at least two referees external to the Department or Program in which the candidate is employed, at least one of whom must be external to the University. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy (SPS B8).
  - d. **Promotion of teaching-stream faculty to the rank of Professor** requires letters from at least three referees external to the University. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy (SPS B8).
  - e. In the case of **CAWAR or tenure assessments of Clinician Educators**, at least three letters must be obtained containing written judgements on the quality of the candidate's clinical scholarly work. The referees in this case may be either internal or external to the University (SPS B9) and will be asked to evaluate the candidate based on criteria consistent with clinical service activities within this academic setting.

- f. In the case of **promotion to Professor of Clinical Educators**, at least three letters must be obtained from referees external to the University (SPS B9). Referees will be asked to evaluate the candidate based on criteria consistent with clinical service activities within this academic setting. Such referees must be scholars with respected national and/or international reputations who can assess whether the candidate is known widely on the basis of scholarship; however that may be defined in the discipline in question. (An exception to this requirement is defined in clause 43(b) below.)

Although a minimum number of referees must be consulted, additional referees may be used. All letters solicited from referees in accordance with SPS B5 or SPS B6 must be made part of the file

### **University Responsibilities**

17. It is expected that, as a University citizen, each faculty member will assist at some level(s) in the committee work of the University and perform such assignments diligently and effectively. The meritorious performance of these duties shall not substitute for either effective teaching or scholarly achievement in the consideration for re-appointment, tenure, permanence, and/or promotion; however, unsatisfactory performance in the discharging of these duties may be an important factor in the delaying or denial of tenure, permanence and/or promotion.
18. The same considerations shall apply for service related to the role of the University in the community, to international activities, and to professional service associated with a candidate's discipline.

### **Specific Criteria**

#### **For Tenure and Promotion to Associate Professor**

19. For a person appointed at the Assistant Professor rank in a tenure-track position, tenure and promotion to Associate Professor are inextricably linked. A recommendation from a Department cannot be for tenure only; it must be for tenure and promotion to Associate Professor. Neither a committee reviewing the recommendation nor an appeal tribunal reviewing a decision on the recommendation can divide the recommendation into separate components.

Hereinafter, reference to the granting of tenure to a tenure-track Assistant Professor shall mean also the granting of promotion to the rank of Associate Professor.

20. A candidate for tenure and promotion to Associate Professor must demonstrate that he or she is an effective teacher. He or she shall have established a promising program of scholarly work at McMaster University and be making the results of this work available for peer review in the public domain. In the majority of disciplines, this will mean that there should be evidence of successful peer-reviewed publication and strong promise of more to come. In certain professional disciplines and in the fine and performing arts, an equivalent achievement must have been attained and equal promise demonstrated. Consideration also shall be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above). This requirement for a McMaster based program of research does not imply that work done prior to the tenure-track appointment at McMaster should not be considered.

**For the Tenuring of Associate Professors and Professors**

21. Candidates for tenure who are Associate Professors or Professors must have demonstrated that they are effective teachers. They must also have established their reputations as scholars through successful peer-reviewed publications or equivalent achievement. Consideration also shall be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above).

**For Promotion to Professor of Tenure-Stream Faculty**

22. The rank of Professor is the highest rank the University can bestow, and its conferral on an Associate Professor shall be only in recognition of high achievement in teaching and research. Promotion to the rank of Associate Professor is not a guarantee of promotion to the rank of Professor.
23. For promotion to the rank of Professor, a tenured faculty member shall have achieved a high degree of intellectual maturity. He or she shall have a good record as a teacher and shall be known widely on the basis of high-quality scholarship, which has been evaluated by established scholars in the appropriate fields and has been published. The high-quality teaching and scholarship must both have been sustained over a period of years. He or she shall have performed his or her University responsibilities in a satisfactory manner.

**For Permanence of a Teaching-Track Position**

24. For a person appointed to a teaching-track position, promotion and permanence are not linked. Promotion may also happen, but is not expected to occur at the same time, except in very exceptional cases when a recommendation for promotion may be considered at the same time as a recommendation for permanence. In all other cases, promotion recommendations will be considered separately at the normal promotion period.
25. A candidate for a permanent teaching position must have demonstrated that he or she is an excellent teacher, has developed as an educator, and thereby has shown academic excellence. Consideration shall also be given to the candidate's performance of his or her University responsibilities (see clauses 17 and 18 above). Evidence of scholarship is not required for the decision on permanence of the position, but is welcome when it is available. External letters of reference will not normally be expected because neither national nor international reputation is expected at this stage of career for these appointments. Consequently, the peer assessment of teaching will be especially important. (See item 4 in SPS B12, and also SPS B1.)

**For Promotion of a Teaching-Stream Faculty Member**

26. For promotion to Associate Professor of a teaching-stream candidate, the criteria include not only excellent teaching and satisfactory performance of University duties as described in the previous clause, but also evidence of recognition external to the Department for the candidate's contributions. These contributions can take the form of curriculum development and/or evaluation (beyond the individual course), presentations and scholarship on teaching or pedagogy, mentoring, or research into the efficacy of different pedagogical approaches. Promotion to Associate Professor requires at least two referees external to the Department or Program in which the candidate is employed, at least one of whom must be external to the University.

27. Promotion to Professor for a teaching-stream individual would be possible, although it is not expected to be the norm. Promotion to Professor requires evidence of a national or international teaching reputation, such as significant external teaching awards, peer-reviewed scholarship on teaching, and delivery of conference papers on pedagogy. Supporting letters from at least three referees external to the University are required. The letters should be obtained as described in clauses 13- 16 above and in SPS B5.

**Timing of Academic Assessments**  
(see also Section II, clauses 7 and 14)

**Assistant Professors: Re-appointment and the Awarding of Tenure and Promotion to Associate Professor** (see also clause 19 above)

28. a. A person whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before tenure and promotion can be granted. Irrespective of the length of the initial appointment and any subsequent re-appointments, however, the following conditions shall apply:
- i. Normally, the candidate shall spend five years in full-time service before being granted tenure. Tenure must be considered during the fifth year of appointment. Any recommendation forwarded to the Faculty Committee must be accompanied by external letters of reference (see clauses 12-16 above and SPS B4 and SPS B5). If the Department decides to take no action in the fifth year of a continuing tenure-track appointment, the candidate must concur in writing with this decision and then the final review of the candidate's case for tenure must occur in the sixth year of full-time service, provided the appointment extends to that year, and shall include external letters of reference. If the candidate does not concur, the Department must initiate an academic assessment, which will include obtaining letters from external referees (see clauses 13-16 above).
  - ii. Such a faculty member shall, however, be the subject of an academic assessment in the third year of his or her tenure-track appointment(s), at which time the University shall either extend the tenure-track appointment for one, two or three years, or take no action if the appointment does not expire in that year, or allow the appointment to lapse.
- b. The terms and conditions spelled out in (a) above shall apply also to those persons who were first appointed to this University on contractually limited appointments and are now in tenure-track positions, except that the timing of the assessments and decisions shall take into account the weightings assigned to the years spent in the contractually limited appointments (see Section II, clause 14).
- c. The timing of the assessments and decisions spelled out in (a) above may be altered and/or extended under the provisions of Section II, clause 7, that is, when the candidate has been granted special, parental and/or sick leave, when the candidate has been granted a reduced workload, or when a faculty member has had an unusual career path.
- d. Other exceptions to the terms and conditions spelled out in (a) above will apply in the following situations:

- i. A person whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position and who has had outstanding success in teaching, research, or both, may be considered for tenure in the fourth year of his or her tenure-track appointment(s), but not earlier. A recommendation for tenure made in this year will be treated as an accelerated one.
  - ii. An individual whose first appointment to this University is as a full-time Assistant Professor in a tenure-track position but who has had full-time faculty status at another university following completion of the doctorate, or who has had extensive post-doctoral work or other relevant professional experience, may ask the Faculty Appointments Committee to take into account the length of the previous experience when determining the eligibility of the appointee for consideration for tenure. The earliest opportunity for assessment for tenure shall be clearly stated in the letter offering the tenure-track appointment. Notwithstanding the opportunity for early consideration for tenure, the terms and conditions spelled out in Section III clause 28(a) above shall apply also. However, no such candidate may be considered for tenure before the second year at McMaster.
29. In considering a candidate for a possible accelerated granting of tenure, a Department shall determine and take account of the candidate's wishes in regard to whether he or she wants to have the recommendation go forward. The Department shall not be bound by the candidate's wishes.

**Assistant Teaching Professors: Re-appointment and the Awarding of Permanence**

30. For a person whose first appointment to this University is as a full-time Assistant Professor in a teaching-track position, the same general timing applies as is described for tenure-track faculty in clause 28:
- a. There must be an academic assessment before he or she can be re-appointed for a further period;
  - b. Permanence must be considered in the fifth year unless the candidate agrees in writing to a one-year deferral;
  - c. Final review of the case for permanence must occur by the sixth year. If not granted at that time, the appointment will be allowed to lapse.

For persons who were first appointed to this University on contractually limited appointments and are now in teaching-track positions, the timing of the assessments shall take into account any agreement on early consideration, as described in the letter of appointment to the teaching-track position (see Section II, clause 14).

**Associate Professors and Professors: The Awarding of Tenure**

31. A person whose first appointment to this University is as a full-time Associate Professor or Professor in a tenure-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before tenure can be granted. Irrespective of the length of the initial appointment and any subsequent re-appointments, however, the following conditions shall apply, unless the timing of the assessments and decisions spelled out in (a) and (b) below has been altered and/or extended under the provisions of Section II, clause 7:

- a. For a person initially appointed to this University as a full-time Associate Professor without tenure, tenure must be considered in the third year of appointment and, if not granted, must be considered again in subsequent years, provided the appointment is extended. For those individuals who have had outstanding success in teaching, research or both, or who have had previous experience as described in clause 28(d)(ii) above, tenure may be considered in the second year. No one shall be considered for tenure during the first year of his or her appointment at the rank of Associate Professor.
- b. For a person appointed as Professor without tenure, tenure must be considered in the second year of appointment and, if not granted, must be considered again in the third, provided the appointment extends to that year. No one shall be considered for tenure during the first year of his or her appointment as Professor.

#### **Teaching Associate Professors and Professors: The Awarding of Permanence**

32. A person whose first appointment to this University is as a full-time Associate Professor or Professor in a teaching-track position must be the subject of an academic assessment before he or she can be re-appointed for a further period or before permanence can be granted. The timing for such assessments is the same as for tenure-track faculty, as described in the previous clause.

#### **Associate Professors: Promotion to Professor**

33. For promotion to the rank of Professor, a tenure-stream faculty member normally shall have spent at least six years in the Associate Professor rank.
34. There will be outstanding individuals who demonstrate in fewer than six years at the Associate rank that they deserve promotion to the rank of Professor. In such cases, early promotion will be appropriate because the performance in both teaching and research is truly exceptional.

#### **Promotion of Teaching-Stream Faculty**

35. For a person appointed to a teaching-track position, promotion and permanence are not linked. Promotion may also happen, but is not expected to occur at the same time. Promotion of an individual in a teaching-track position to Associate Professor must either follow or (in exceptional cases) accompany a recommendation for permanence. A teaching-stream faculty member who has been awarded permanence without promotion and who wishes to be considered for promotion should notify the Department Chair in writing.

#### **Resignations**

36. If a faculty member resigns from the University and the letter of resignation is received and acknowledged by the President prior to October 1, then the faculty member shall not be eligible for consideration for tenure and/or promotion. If the receipt and acknowledgment occur after October 1, any recommendation for tenure and/or promotion that is under consideration shall be carried through to its normal completion, if the candidate so wishes.



---

**Procedures Governing Academic Assessments**

**At the Department Level**

37. a. It is the responsibility of the Chair of each Department to inform all members of the Department of the University's criteria for re-appointment, tenure or permanence, and promotion together with any Faculty and Department guidelines or interpretations of those criteria. Faculty members shall be informed at the time of their first appointment by the Department Chair or their Faculty Dean of the performance normally expected of successful candidates for tenure, permanence and promotion. Department Chairs should meet at least once each academic year with all potential candidates for re-appointment, tenure or CAWAR to review and discuss the progress of the faculty member's research program, as well as their teaching and university service. Results of these discussions must be recorded in writing and agreed to by both parties.
- b. The Department Chair shall also inform all members of the Department of the procedures for making recommendations to the Faculty Tenure and Promotion Committee (see Appendix B, SPS B1 through B12).
38. a. Every Department or, where appropriate, a section of the Department, shall have a Tenure and Promotion Committee, hereinafter referred to as the Departmental Committee, and shall elect a faculty member, hereinafter referred to as the elected representative, who shall accompany the Department Chair when recommendations are presented to the Faculty Tenure and Promotion Committee. Both the Department Chair and the elected representative shall be members of the Departmental Committee. This Committee will also be responsible for making recommendations regarding teaching-stream faculty.
- b. Normally, only tenured (not including permanent teaching) faculty members should be members of a Departmental Committee. Any departure from this arrangement must receive the approval of the appropriate Faculty Tenure and Promotion Committee.
- c. A member of a Departmental Committee shall resign from the Committee if a recommendation for his or her tenure and/or promotion is to come before the Committee. In such circumstances, the Department shall name a replacement to the Committee.
- d. Normally, no faculty member shall be a member of more than one of the Departmental Committee, the Faculty Tenure and Promotion Committee and the Senate Committee on Appointments. A member of the Faculty Committee or the Senate Committee on Appointments must recuse himself or herself from any and all discussions at the Departmental level. If the member is asked by the Department Chair to participate at the Department level and the member chooses to serve at the Department level, he or she must recuse himself or herself from all discussion and voting concerning the tenure/permanence and promotion of all the candidates in his or her Department at the higher levels, and also when those candidates are compared with other candidates. Such a technical abstention shall not cause the Committee to lose quorum.
- e. While the process of gathering information may commence earlier in the year, the final determination of all cases shall be the responsibility of the Departmental Committee in place as of July 1. A decision shall be by majority vote of the whole Committee. Non-technical abstentions count as negative votes. In the event of an equality of votes on tenure,

permanence, tenure-track re-appointment, and promotion recommendations, the question is deemed to be decided in favour of the candidate and the recommendation shall be forwarded to the Faculty Tenure and Promotion Committee.

- f. A member of a Departmental Committee who is a significant collaborator with a candidate for re-appointment, tenure, permanence, and/or promotion should not be present when that candidate's case is discussed and/or voted on (see Appendix B, SPS B4). In this event, a technical abstention shall be recorded in the Committee for the member concerned.
  - g. When a Department Chair is eligible to be considered for promotion, the Department shall name a replacement to the Departmental Committee who shall attend the meetings at which the Chair's case is discussed. The replacement shall handle all the details attendant on the preparation of the case for promotion of the Department Chair.
- 39.
- a. It is the responsibility of the Department Chair to ensure that the Departmental Committee considers the case of every member of the Department who is eligible to be considered for re-appointment, tenure, permanence, and/or promotion (see clauses 28 to 35 above). In the case of a faculty member who holds a joint appointment in two or more Departments, the Chairs of the Departments involved shall ensure that the assessment is properly co-ordinated. In the case of a faculty member who participates in a Program, the Department shall be responsible for carrying out the academic assessment, but the Program Director shall make a written submission to the Departmental Committee (see clause 49(c) below).
  - b. It is the responsibility of each faculty member who is eligible to be considered for re-appointment, tenure, permanence, and/or promotion to prepare and maintain an up-to-date curriculum vitae in accordance with the requirements approved by the Senate Committee on Appointments (Appendix B, SPS B11), an up-to-date Teaching Portfolio (see SPS B2) and to ensure that all the relevant evidence is made available for inclusion in the dossier.
  - c. It is the responsibility of the Department Chair to ensure that a dossier is prepared for each candidate for tenure, permanence, and/or promotion for consideration by Departmental and Faculty Tenure and Promotion Committees and by the Senate Committee on Appointments and that all the relevant evidence is included in the dossier. The contents of the dossier are described in Appendix B, SPS B12.
  - d. The Departmental Committee shall inform itself on the teaching abilities, scholarly achievements and University responsibilities of all candidates for re-appointment, tenure, permanence, and/or promotion. This academic assessment shall be carried out in accordance with the criteria and procedures described in clauses 1-27 above (see also Appendix A).
40. Except for those cases described in clause 43(a) below, the Departmental Committee shall, with respect to each eligible tenure-track candidate in the Department, recommend to the Faculty Tenure and Promotion Committee that:
- a. tenure be granted, or
  - b. no action be taken in regard to tenure, or
  - c. the period of a tenure-track appointment be extended, or
  - d. the candidate's tenure-track appointment be allowed to lapse, or
  - e. promotion be granted, or
  - f. no action be taken in regard to promotion. (See also clause 43 below.)

41. With respect to each eligible teaching-track candidate in the Department, the Departmental Committee shall recommend to the Faculty Tenure and Promotion Committee that:
  - a. permanence be granted, or
  - b. no action be taken in regard to permanence, or
  - c. the period of a teaching-track appointment be extended, or
  - d. the candidate's teaching-track appointment be allowed to lapse, or
  - e. promotion be granted, or
  - f. no action be taken in regard to promotion. (See also clause 43 below.)
  
42.
  - a. The Chair shall notify every candidate for re-appointment, tenure, or permanence of the Departmental recommendation in his or her case on or before October 1, and shall similarly notify every eligible candidate for promotion no later than December 1.
  
  - b. A faculty member who believes that he or she has been unfairly treated because (i) he or she was not considered for tenure, permanence, and/or promotion by the Department, or (ii) he or she has been considered but no recommendation is being made, or (iii) an inappropriate recommendation is being made to the Faculty Tenure and Promotion Committee, may request to be considered or reconsidered by making a submission in writing to the Department Chair no later than October 7 (December 7 in the case of a faculty member being considered for promotion to Professor).
  
  - c. Upon receiving such a request, the Chair shall discuss the matter with the faculty member concerned, and shall provide him or her with a copy of the material considered by the Departmental Committee, along with a copy of the Committee recommendation to the Faculty Committee. It shall be the responsibility of the Chair of the Department to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality. If the faculty member desires it, there shall be a meeting of the Departmental Committee to consider or re-consider the case. The faculty member shall have the right to appear before this Committee and make submissions thereto; the faculty member may be accompanied by a faculty colleague acting as an advisor.
  
  - d. If, following such consideration of his or her case, the faculty member remains unsatisfied, he or she may convey this information, in writing, to the Faculty Dean, who shall apprise the Faculty Tenure and Promotion Committee of the case (see clause 50(c) below).
  
43.
  - a. If, after considering the case of a candidate for promotion, the Departmental Committee decides not to recommend promotion, then, unless the candidate so requests it, the case shall not go forward to the Faculty Tenure and Promotion Committee.
  
  - b. In considering each year the case for promotion of an eligible candidate who has previously been denied the promotion (at whatever level of the decision process), the Departmental Committee shall not be expected to obtain new external letters of reference, year in and year out. It will do so only when it believes that there is, *prima facie*, a case to be made for promotion.

- c. A faculty member who is eligible to be considered for promotion may request that he or she not be considered by the Departmental Committee in a particular year. The Departmental Committee shall not, however, be bound by such a request.

### **At the Faculty Level**

44. Every Faculty shall have a Faculty Tenure and Promotion Committee composed of:
  - a. the Faculty Dean (Chair); and
  - b. five to eight tenured (not including permanent teaching) members of the full-time faculty (as specified in the Faculty By-laws) elected from those holding the rank of Professor or Associate Professor. Of these, at least three shall be Professors and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms by the full-time tenure-stream and teaching-stream members of the Faculty.

Hereinafter, the Faculty Tenure and Promotion Committee shall be referred to as the Faculty Committee.

45. A Joint-Faculty Tenure and Promotion Committee may be established instead of the committee described in clause 44 above, provided that two or more Faculties agree and continue to agree to such an arrangement. The Joint-Faculty Tenure and Promotion Committee shall be composed of:
  - a. the Dean of each such Faculty; and
  - b. four or five full-time tenured (not including permanent teaching) members of each such Faculty (as specified in the Faculty By-laws) elected from those holding the rank of Professor or Associate Professor. At least two members from each Faculty shall be Professors, and at least one shall be an Associate Professor. They shall be elected for staggered three-year terms by the full-time tenure-stream and teaching-stream members of their Faculty.

The Chair of the Joint-Faculty Committee shall be the Dean from whose Faculty the tenure-track re-appointment, tenure, permanence and/or promotion recommendations are being presented.

Hereinafter, any reference to a Faculty Committee shall apply also to a Joint-Faculty Tenure and Promotion Committee, unless otherwise stated.

46. An Associate Professor shall be required to resign from a Faculty Committee if he or she is being considered for promotion that year. In such circumstances, full-time members of the Faculty concerned shall elect a replacement to the Committee.
47. Within these limits, each Faculty shall prescribe in its By-laws the membership of its Tenure and Promotion Committee.
48. Faculty Committees shall be governed by the following rules and procedures:
  - a. The Chair shall be responsible for convening the Committee and shall have a vote in all cases.
  - b. A quorum shall be the Faculty Dean(s), and the rest of the Committee save one.

- c. Normally, no faculty member shall be a member of more than one of a Departmental or Faculty Tenure and Promotion Committee or the Senate Committee on Appointments (see Section III, clause 38d).
  - d. A decision shall be by majority vote of the whole Committee. Non-technical abstentions count as negative votes. In the event of an equality of votes on tenure, permanence, tenure-track re-appointment and promotion recommendations, the question is deemed to be decided in favour of the Departmental Tenure and Promotion Committee's recommendation.
  - e. A member of a Faculty Committee who is a significant collaborator with a candidate for re-appointment, tenure, permanence, and/or promotion should not be present when that candidate's case is discussed and/or voted on (see Appendix B, SPS B4). In this event, a technical abstention shall be recorded in the Committee for the member concerned. Such a technical abstention shall not cause the Committee to lose quorum.
  - f. Only members of the Faculty Committee shall be present when decisions are made.
  - g. In arriving at its decision, the Faculty Committee shall keep in mind the necessity of maintaining academic freedom as it is outlined in Section I of this document.
- 49.
- a. The Department Chair shall forward the written recommendations of the Departmental Committee to the Faculty Committee with a comprehensive record of the candidate's qualifications and achievements. In the case of a candidate whose appointment calls for a half-time or greater commitment to a Program, the written submission from the Program Director shall be included in the Department's submission to the Faculty Committee. The Chair and the elected representative shall be invited to attend the meeting when candidates from their Department are to be considered and to present the recommendations from their Department. Reports and assessments provided by the Departmental Chair to the Faculty Committee shall be considered confidential. The Chair and the elected representative shall ensure that the Committee is informed of any differences of opinion about the candidate within the Department. The results of the Departmental vote are to be reported to the Faculty Committee and the Senate Committee.
  - b. Upon request from a member of the candidate's Department, the Faculty Committee shall invite a member or members of the Department to present a minority view not otherwise represented.
  - c. In the case of a candidate whose appointment calls for a half-time or greater commitment to a Program, the Director of that Program shall be invited to attend the meeting of the Faculty Committee at which the recommendation for the candidate is presented.
50. The Faculty Committee must invite a candidate for an interview if:
- a. it appears that a Departmental recommendation for tenure, permanence, and/or promotion of the candidate is not likely to be supported, or
  - b. it is to be recommended that the candidate's appointment be allowed to lapse, or

- c. it has received, through the Faculty Dean, information concerning the dissatisfaction of the candidate concerning the Department's recommendation or decision about him or her (see clause 42(d) above).

The Faculty Committee also has the right to invite any candidate for an interview. A candidate may be accompanied at the interview by a faculty colleague acting as an advisor. If he or she requests it, the candidate must be provided with a copy of the material considered by the Faculty Committee, along with a copy of the Departmental Committee recommendation. It shall be the responsibility of the Faculty Dean to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality.

51.
  - a. Before a Faculty Committee forwards to the Senate Committee on Appointments a recommendation in the absence of, or contrary to, a Departmental recommendation, it shall communicate its decision and the reasons for it to the Chair of the candidate's Department, and provide an opportunity for the Department to make a further submission to it.
  - b. If the Department decides to make a further submission to the Faculty Committee and, such submission notwithstanding, the Faculty Committee forwards to the Senate Committee on Appointments its earlier recommendation, it shall at the same time inform the Senate Committee on Appointments of the views of the Department. In these circumstances, the Senate Committee on Appointments may invite the Chair and the elected representative to present the views of the Department.
52. The Faculty Committee shall vote to support, reject or modify the recommendations of the Department. If a Department recommendation for an extension of a tenure-track or teaching-track appointment is supported by the Faculty Committee (whether for the same number of years as was recommended by the Department or for a different period), then the decision of the Faculty Committee shall be final and binding within the University. The Dean, as chair of the committee, shall forward such decisions to the President's Office for action, and the extensions of appointments shall be reported to the Senate Committee on Appointments for information. For any faculty member who is subject to consideration by two Faculty Committees (see clause 54 below), the extension of the appointment shall be agreed to by both Committees. If the two Committees disagree on the length of the extension of the tenure-track appointment, the matter shall be referred to the Senate Committee on Appointments for resolution.
53. For all cases other than those covered by the preceding clause, the Faculty Committee shall recommend to the Senate Committee on Appointments that:
  - a. tenure or permanence be granted, or
  - b. no action be taken in regard to tenure or permanence, or
  - c. the Departmental recommendation for tenure or permanence be denied and the appointment be extended instead, or
  - d. the candidate's appointment be allowed to lapse, or
  - e. promotion be granted, or
  - f. no action be taken in regard to promotion.

If the Faculty Committee's recommendation is that no action be taken in regard to tenure or permanence, or that an appointment be extended (in spite of a Departmental Committee recommendation that tenure or permanence be granted), or that an appointment be allowed to lapse, or that no action be taken in regard to promotion, the Committee shall prepare for the Senate

Committee on Appointments a statement of the reasons for its recommendation (see also Appendix B, SPS B6).

54. For any faculty member who is subject to consideration by two Faculty Committees, a recommendation from each Faculty Committee shall be submitted to the Senate Committee on Appointments. In the event that the recommendations disagree, the Senate Committee on Appointments shall make the final decision.
55. It is recognized that Faculty Committees generally are best qualified to make academic judgements concerning the teaching and research of members of their Faculty.

#### **At the Level of the Senate Committee on Appointments**

56. The major responsibility of the Senate Committee on Appointments (for composition, see Senate By-law 117) is to ensure comparable academic standards and equitable treatment for all members of the University when decisions are taken concerning tenure, permanence, and promotion. For that reason, the Committee does not consider recommendations out of phase, except in the most unusual circumstances (e.g., see Section II, clause 16(k)). Therefore, recommendations for permanence, tenure, and promotion to Associate Professor from all Faculties are considered together in the late fall of each year, while recommendations for promotion to Professor of tenured faculty and for promotion of permanent teaching faculty are considered in late January or early February. In very exceptional cases, a recommendation for permanence and promotion to Associate Professor may be considered at the same time. When considering all of the above such cases, the Senate Committee shall be bound by a quorum rule that requires the Provost and the Dean of Graduate Studies to be present along with six other voting members. Should the Provost or the Dean of Graduate Studies be unavailable, only a Senate-appointed Acting Provost or Acting Dean of Graduate Studies is an acceptable substitute.
57. The Faculty Dean and one of the elected members from the Faculty Committee shall attend (but not vote at) a meeting of the Senate Committee on Appointments for the purposes of presenting the recommendations of the Faculty Committee.
58. A member of the Senate Committee on Appointments who is a significant collaborator with a candidate for re-appointment, permanence, tenure and/or promotion, or a member of the same department, should not be present when that candidate's case is discussed and/or voted on (Appendix B, SPS B4), and a technical abstention shall be recorded for the member in such a situation. . Such a technical abstention shall not cause the Committee to lose quorum.

A decision in the Senate Committee shall be by a majority of the voting members, except that technical abstentions shall not be counted in the vote. Non-technical abstentions, therefore, count as negative votes. In the event of an equality of votes on tenure, permanence, re-appointment and promotion recommendations, the question is deemed to be decided in favour of the Faculty Tenure and Promotion Committee's recommendation (see Senate By-law 117).

59. When, after its initial discussion, the Senate Committee does not agree with a recommendation it has received from a Faculty Committee, it shall refer the recommendation back to the Faculty Committee with a written statement of the grounds for its disagreement. The Faculty Committee shall have a period of 15 working days from the date of the referral to reconsider the case and it shall then forward in writing to the Senate Committee the result of its reconsideration.
60. a. The Senate Committee must, at an appropriate time, invite a candidate for an interview if:

- i. it intends to decide against a Faculty Committee's recommendation for tenure, permanence, and/or promotion of the candidate, or
- ii. it intends to decide that the candidate's appointment be allowed to lapse.

The candidate may be accompanied at the interview by a faculty colleague acting as an advisor. The Faculty Committee shall be notified at the same time as the candidate regarding the date of the interview of the candidate.

If he or she requests it, the candidate must be provided with a copy of the material considered by the Senate Committee, along with a copy of the Faculty Committee recommendation, prior to the interview. It shall be the responsibility of the Chair of the Senate Committee to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality.

- b. The Senate Committee must, at an appropriate time, invite the Faculty Dean and elected colleague back to meet with them if there was initial agreement between the Senate and Faculty Committee that an appointment be allowed to lapse but, after interviewing the candidate, the Senate Committee intends to decide against the Faculty Committee's recommendation. If the Faculty Committee so chooses, it may submit written representations in place of the meeting with the Senate Committee.

61. After considering a recommendation it has received from a Faculty Committee (and any reconsideration called for under clause 59 and 60 above), the Senate Committee on Appointments shall decide:

- a. that the candidate is to be nominated for a tenured appointment and so inform the Senate, or
- b. that no action is to be taken in regard to tenure, or
- c. that the candidate is to be nominated for a permanent teaching position and so inform Senate, or
- d. that no action be taken in regard to permanence, or
- e. to recommend to the President that the period of an appointment be extended, and so inform the Senate and Board, or
- f. that a candidate's appointment be allowed to lapse, and so inform the Senate and Board, or
- g. that promotion is to be granted and so inform the Senate, or
- h. that no action is to be taken in regard to promotion.

In the cases of subsections (a) and (g) above, the Senate, upon receiving the decisions of the Senate Committee on Appointments, shall thereupon forward the decisions through the President to the Board of Governors as nominations for tenure, permanence, and/or promotion.

62. In those cases where the Senate Committee on Appointments decides that the candidate is to be nominated for a tenured or permanent appointment, or for promotion, the Chair of the Senate Committee on Appointments shall without further delay inform the candidate concerned, in writing, of the decision.



In the case where an appointment is to be extended (clause 61(e) above), the President shall inform the candidate in writing of the decision made on his or her status, normally not later than November 15 of the year in question, and in any event not later than December 15.

63. In those cases where the Senate Committee on Appointments decides that no action is to be taken in regard to tenure or permanence, or that an appointment be extended (in spite of a Faculty Committee recommendation that tenure or permanence be granted), or that the length of the extension of an appointment (as recommended by the Faculty Committee) be reduced, or that an appointment is to be allowed to lapse, or that no action is to be taken in regard to promotion, the Chair of the Senate Committee on Appointments shall without further delay inform the candidate concerned in writing, by registered mail at his or her home address, of the decision made, and shall at the same time provide reasons for the decision. The following conditions shall apply:
- a. If the decision represents an approval by the Senate Committee of a recommendation made by the Faculty Committee, the statement of reasons shall include the written statement prepared by the Faculty Committee (see clause 53 above), along with a statement indicating the authority of the Senate Committee on Appointments in these matters as established in the relevant sections of this policy.
  - b. If the decision by the Senate Committee is different from the recommendation made by the Faculty Committee, then the statement of reasons shall be prepared by the Senate Committee and shall refer to the authority of the Senate Committee in these matters as established in the relevant sections of this policy.
  - c. In both (a) and (b) above, the candidate must be provided with a copy of the material considered by the Senate Committee, along with a copy of the Faculty Committee recommendation and any related correspondence between the Senate Committee and the Faculty Committee. It shall be the responsibility of the Chair of the Senate Committee to ensure that the confidentiality of the material is maintained. To this end, only unattributed copies of the originals of any external or internal letters of reference shall be provided. Any other written assessments shall be similarly redacted to maintain confidentiality..

In those cases where an appointment is to be allowed to lapse, the Chair of the Senate Committee on Appointments shall also inform the candidate that the Committee's decision will be reported in due course to the Senate.

64. a. The letters referred to in clause 63 above that relate to tenure or permanence and tenure-track or teaching-track appointment decisions shall be mailed normally not later than November 15 of the year in question, and in any event not later than December 15. A candidate who has not been so informed in writing of the decision made by the Senate Committee on Appointments on his or her status by November 15 shall not be justified in assuming that a favourable recommendation has been made. A candidate who has not been so informed in writing of the decision made by the Senate Committee on Appointments on his or her status by December 15 of the academic year in which his or her appointment will otherwise end shall be entitled to a one-year contractually limited appointment beginning the day following the lapse of the faculty member's tenure-track or teaching-track appointment.
- b. The letters referred to in clause 63 above that relate to decisions on promotion normally will be mailed early in the new year.

65. The Board of Governors shall normally consider Senate nominations for tenure and permanence at its December meeting immediately following the Senate meeting at which they have been received. In any event, these nominations shall be dealt with not later than December 31 of the year in which they were considered by the Faculty Committee. As soon as the Board has agreed to grant tenure, permanence, and/or promotion, the President shall give formal notice in writing to each candidate to whom this has been granted.
  
66. Within 30 days of receiving the letter referred to in clause 62 above, or the written statement referred to in clause 63 above, a candidate who is entitled under the terms of the following section, Section IV, to appeal the decision made on his or her case may request such an appeal by writing to the Secretary of the Senate. This request will be reported at the next regular meeting of the Senate.

Upon receipt of such an appeal request, the Secretary of the Senate shall set in motion the appeal procedures described in Section IV below.

## SECTION IV

### **Appeal Procedures (regarding Tenure, Permanence, and Promotion Decisions)**

1. It matters as much to the University community as to a faculty member who considers that he or she has a grievance concerning a tenure, permanence, or promotion decision that an inquiry into the grievance should result in a just decision, based on an impartial and dispassionate review of the facts.
2.
  - a. The Senate shall establish an Appeal Tribunal as soon as possible after receipt of a written request from a faculty member who has been denied tenure, permanence, and/or promotion, if his or her case meets the conditions set out in (b), (c) or (d) below. Such a faculty member shall hereinafter be referred to as the appellant.
  - b. A faculty member shall be entitled to appeal a tenure or permanence decision only:
    - i. if his or her tenure-track or teaching-track appointment is to be allowed to lapse at the end of the current academic year; or
    - ii. in an academic year when her or his Departmental and/or Faculty Committee has recommended that tenure or permanence be granted.
  - c. An appeal of a decision not to grant promotion to Professor of a tenured faculty member or promotion to Associate Professor or Professor of a permanent teaching faculty member shall be permitted only if the candidate has spent at least six years in the current rank, except in the case when he or she has been recommended for promotion by his or her Departmental and/or Faculty Committee.
  - d. If an appeal of a decision not to grant promotion results in the decision being upheld, no further appeal will be entertained for three years following the initial one unless the Departmental and/or Faculty Committee recommends promotion in an intervening year.
3. Recommendations concerning membership of an Appeal Tribunal shall be made to Senate by the Tenure and Promotion Appeals Nominating Committee of Senate. The Tribunal shall be composed of three tenured/permanent teaching members of the University's full-time faculty who have not been previously involved in the decision under review and who are at "arm's length" from both the appellant and the members of the Determining Committee. The Tribunal in each case shall normally consist of one member from the appellant's Faculty and two members from outside of it. Both the appellant and the Chair of the Determining Committee (or the appropriate Faculty Dean when the Determining Committee is a Joint-Faculty Committee) shall be informed of the names under consideration by the Tenure and Promotion Appeals Nominating Committee of Senate, and shall express to them independently, in writing, any objections that they may have concerning any of the proposed members of the Appeal Tribunal. After careful consideration of any such objections, the Tenure and Promotion Appeals Nominating Committee of Senate shall forward its recommendations on the membership of the Tribunal to the Senate for approval.
4. The Appeal Tribunal shall choose one of its members to act as Chair and this person shall have the primary responsibility for the orderly conduct of the proceedings. The Secretary of the Senate shall be responsible for notifying all persons concerned of the time and place of the proceedings.

5. The proceedings of the Tribunal shall be conducted expeditiously and in strict fairness to the appellant and to the University, and shall be governed by the *Statutory Powers Procedure Act of Ontario* (see also Appendix B, SPS D1).
6.
  - a. The decision under appeal shall be that of the “Determining Committee.” The Determining Committee, for the purposes of this document, shall be the Committee that prepared the principal statement referred to in Section III, clauses 63(a) and (b). That is, if the decision of the Senate Committee on Appointments that is under appeal is the same as the recommendation made by the Faculty Committee, the Faculty Committee shall be the Determining Committee. If the decision of the Senate Committee on Appointments that is under appeal is different from the recommendation made by the Faculty Committee, the Senate Committee shall be the Determining Committee.
  - b. The Determining Committee shall be represented during the appeal by its Chair or a delegate chosen by the Committee from among the elected faculty members on the Committee. If the Committee so wishes, the Chair (or delegate) may be accompanied by another faculty member, chosen by and from the Committee for this purpose.

In the event that the Determining Committee is a Joint-Faculty Committee, the Faculty Dean concerned, or one of the elected faculty members from that Faculty on the Determining Committee, chosen by the members of the Determining Committee, shall represent the Determining Committee. If the Committee so wishes, the Dean (or delegate) may be accompanied by another faculty member, chosen by the Committee from among the faculty members from that Faculty on the Committee.

In the event that the appellant holds a joint appointment in two Departments in two Faculties, and in the event that two Faculty Committees represent the Determining Committees, the Deans of the Faculties concerned or one elected faculty member from each of the two Faculty Committees, chosen by the members of each of the two Faculty Committees, shall represent the Determining Committees. If either or both of the relevant Committees so wish, the Dean (or delegate) may be accompanied by another faculty member, chosen by and from the Committee.

If the decision of the Determining Committee(s) that is under appeal is the same as the recommendation(s) made by the Department(s), then the Chair(s) of the Determining Committee(s) or the delegate, as appropriate, may also be accompanied by another faculty member chosen by and from the Department Committee(s).

7.
  - a. The appellant may be represented at all hearings before the Appeal Tribunal by counsel or an agent, but shall be present at all hearings.
  - b. The Tribunal and the Determining Committee may wish also to engage counsel, but, in the event that they do so, only the Determining Committee should have access to the services of the University’s Solicitor.
8. Subject to the agreement of the appellant, a Faculty Association observer shall be permitted to be present at all hearings of Appeal Tribunal and to receive all the documentation available to the appellant. Such an observer shall be non-participating and subject to the “Guidelines Concerning the Role of Faculty Association Observers at Appeal Hearings” (Appendix B, SPS D2).

9. As its first task, the Tribunal shall meet with the appellant and the representatives of the Determining Committee and shall decide whether or not the hearings shall be held in camera, in accordance with the requirements of the *Statutory Powers Procedure Act* (see clause 5 above).
10. The Tribunal shall review the evidence, both written and oral, upon which the decision was based. The following rules shall apply:
  - a. When reviewing a case in which an appointment is being allowed to lapse, the Tribunal shall consider any new evidence.
  - b. When reviewing any other case, the Tribunal shall not consider any new achievements of the appellant subsequent to the date of the Determining Committee's decision, but shall consider any evidence that existed but was not presented to the Department, Faculty or Senate committees during their deliberations, and may obtain additional assessments respecting the appellant's work.
  - c. If the Tribunal decides that the cases of other faculty members are closely comparable to the case under appeal, it shall be entitled to examine such documents as it believes likely to be relevant and which were considered when a tenure, permanence, and/or promotion decision was taken in the cases of the other faculty members. The Tribunal's use of such documents shall be at the discretion of the Tribunal. Neither the appellant nor his or her counsel or agent shall have direct access to such documents, but, upon request, they shall be provided with unattributed copies of them. The Tribunal shall take adequate care to ensure that the privacy of third parties is protected.
11. Access to reports on and assessments of the appellant which formed the basis of the Determining Committee's decision shall be subject to the following regulations:
  - a. The appellant is entitled to have received a copy of all the material considered by the Senate Committee on Appointments, which would include a copy of the Faculty Committee recommendation (see Section III, clause 63 c) and copies of any related correspondence between the Senate Committee and the Faculty Committee . Only unattributed copies of the originals of any external or internal letters of reference shall have been provided and any other written assessments shall have been similarly redacted to maintain confidentiality. The Tribunal shall take adequate care to ensure that the privacy of third parties is protected.
12. The Tribunal shall decide, either unanimously or by a majority, either to uphold or overturn the decision of the Determining Committee. The Tribunal's decision shall be final and it shall report its decision to the parties involved in the appeal and to the Senate.
13. If the Tribunal's decision is that the appellant is to be granted tenure, permanence, and/or promotion, the Senate shall thereupon forward the decision through the President to the Board of Governors as a nomination for tenure, permanence, and/or promotion. Once the Board has acted upon the recommendation, the President shall inform the appellant in writing of the decision.
14. If the Tribunal, while bearing in mind the limitations on the length of such appointments as stipulated in Section II, clauses 7 and 14, recommends to the President that a further tenure-track or teaching-track appointment be granted, the President shall offer the candidate such an appointment.

15. If the Tribunal has any other recommendations or comments to make (for example, with respect to changes in policy or procedures), it shall make such recommendations or comments to the appropriate University body in a separate document.

## SECTION V

### Suspension of a Faculty Member

1. Suspension as a form of disciplinary action involves relieving a faculty member of all of his or her University duties and denying him or her access to University facilities and services for a stated period of time, with or without pay. Suspension does not refer to those other forms of disciplinary action that may involve relieving a faculty member of only some of his or her duties (for example, teaching or supervisory assignments or participation in a research project). Nor does it refer to periods of leave occasioned by special circumstances (for example, illness, incarceration, political service or secondment).
2. The President shall exercise his or her authority to suspend a faculty member when a tribunal, acting in accordance with an approved University policy, has made a finding of just cause and has decided and recommended to the President that a suspension is the appropriate form of disciplinary action against the faculty member concerned. The President shall decide upon the terms of the suspension (period of time and with or without pay) and shall be guided in this decision by any recommendations on these matters made by the tribunal; in no case shall the terms decided upon be more severe than those recommended by the tribunal.
3. Notwithstanding clause 2 above, in exceptional circumstances (for example, if a faculty member poses a real and present danger to the safety of any member of the University community, or a serious and immediate threat to the functioning of the University), and after consultation with the appropriate academic administrative officers, the President may suspend a faculty member pending the outcome of a hearing on charges of misconduct against the faculty member concerned. In such circumstances, where the President's action in suspending a faculty member is not preceded by a decision of a University tribunal, the suspension shall be with pay, and the Provost shall ensure that a hearing into the allegations of misconduct against the faculty member concerned, if not already underway, is commenced within 10 working days of the start of the suspension.
4. The President, in suspending a faculty member, shall advise the faculty member in writing of the terms of the suspension and the details of the cause for the action. This notice shall be sent to the faculty member's home address by registered mail. A copy of the letter shall be sent to members of the Faculty Appointments Committee.
5. A decision by a duly constituted tribunal and/or by the President to suspend a faculty member shall not be grievable under the Faculty General Grievance Procedure.
6. The above clauses in this Section shall constitute the University policy on the suspension of faculty members appointed under the terms of this policy and shall take precedence over any or all other statements on the subject.

## SECTION VI

### Procedures for Removal

1. “Removal” means the termination by the University of the appointment of a faculty member on a tenured or permanent appointment without the consent of the appointee before his or her retirement, or the termination by the University of the appointment of a faculty member on a tenure-track or teaching-track appointment or contractually limited appointment before the end of its stated period without the consent of the appointee. It follows that the non-renewal of a contractually limited appointment or the decision not to grant tenure at the end of a tenure-track appointment, or permanence at the end of a teaching-track appointment, does not constitute removal. Further, the lapsing of an appointment by reason of the time limitations on contractually limited and tenure-track or teaching-track appointments, which are stipulated in Section II, clauses 7, 12(d) and 14, does not constitute removal.
2. Under the terms of *The McMaster University Act (1976)*, only the Board of Governors has the power to remove a faculty member, and the *Act* stipulates that the Board may exercise this power only after consulting the Senate. The Senate, through its Senate Committee on Appointments, shall exercise its authority under the *Act* to recommend the removal of a faculty member only when adequate cause has been established by the Hearing Committee according to the procedures described in this Section. The Senate and the Board of Governors and their committees shall be bound by the findings, in regard to the establishment of adequate cause, of the Hearing Committee referred to in clauses 9 and 10 below.
3.
  - a. In general terms, “adequate cause” for removal exists if it has been established that a faculty member has unreasonably neglected his or her academic responsibilities, or has been guilty of such unethical academic behaviour as to impair his or her usefulness as a member of the University. However, it is understood that the words “adequate cause” must necessarily be interpreted in the context of each removal case. The subsequent paragraphs of this Section specify a sequence of procedures to be followed that will assure that the question of what constitutes “adequate cause” for removal will have careful consideration in the circumstances of each removal case.
  - b. Physical or emotional inability to carry out reasonable duties shall not be a reason for removal.
  - c. For purposes of this document, “adequate cause” for removal shall not be construed as including the University’s financial difficulties or lack of money to pay the faculty member’s salary.
4. If the President intends to initiate action leading to the removal of a faculty member, he or she shall first notify the member in writing of this intention together with the reasons for such action, and invite the faculty member to a meeting to discuss the reasons and the intended action. This notice shall be sent to the faculty member’s home address by registered mail.
5. Subject to the agreement of the faculty member against whom removal proceedings have been instituted, a Faculty Association observer shall be permitted to be present at any meetings between the two parties, including the meetings described in clauses 4 and 6 and at the hearing described in clauses 12 and 13, and to receive all the documentation available to the faculty member. Such an observer shall be non-participating and subject to the “Guidelines for Faculty Association Observers at Removal Proceedings” (Appendix B, SPS D3).



6. The meeting referred to in clause 4 above shall be held under the following conditions:
  - a. By mutual agreement, it shall take place on a date which will not be fewer than seven and not more than 21 days from the date of mailing of the President's letter (as indicated in clause 4); failing mutual agreement, on a date to be set by the President.
  - b. Those present, besides the President and the faculty member concerned, shall be:
    - i. one member of the academic administration, to be chosen by the President;
    - ii. the Chair or Acting Chair of the faculty member's Department;
    - iii. an advisor, counsel or an agent, chosen by the faculty member concerned, if he or she wishes such a person to be present;
    - iv. a disinterested Professor or Associate Professor with tenure or permanence, acceptable to the President and the faculty member concerned, if one can be found by the date set for the meeting.
  - c. If the faculty member fails to or declines to attend the meeting, the meeting shall nevertheless take place, and the President, after the meeting, may proceed as set out in clause 7 below.
7. If, after this meeting, the President still intends to proceed with the action, the President shall, within 14 days of the date of the meeting, so inform the member in writing, to the home address by registered mail, communicating at that time a precise description of the charges against the member in sufficient detail to enable the faculty member to prepare a defence.
8. After the meeting described in clauses 4 and 6 above, or at any subsequent stage in the proceedings, the President may, at his or her discretion, temporarily suspend the faculty member until the matter has been decided. Unless a tribunal has recommended otherwise, the suspension shall be with pay.
9. The faculty member shall have 14 days from the date of mailing of the President's letter mentioned in clause 7 above to decide whether to contest the action and to so inform the President. If the faculty member informs the President that he or she intends to contest the action, or if the faculty member informs the President that he or she does not intend to contest the action, but does not submit at the same time his or her resignation from the University, or if the faculty member fails to communicate with the President by the deadline specified herein, the President shall so inform the Senate and the Senate shall proceed immediately to establish a Hearing Committee.
10. Recommendations concerning the membership of the Hearing Committee shall be made to Senate by the Tenure and Promotion Appeals Nominating Committee of Senate. The Hearing Committee shall be composed of three tenured, or permanent, full-time Professors of the University who are at "arm's length" from the faculty member concerned, from the President and from any other administrator who may be involved. The Hearing Committee shall normally consist of one Professor from the faculty member's Faculty and two from outside of it. Both the faculty member and the President shall be informed of the names under consideration by the Nominating Committee and shall express to it independently, in writing, any objections they may have concerning any of the proposed members of the Hearing Committee. The Nominating Committee shall consider carefully any such objections before forwarding its recommendations on the membership of the Hearing Committee to the Senate for approval.

11. In Senate's approval of the Hearing Committee membership and in all subsequent deliberations of the Senate Committee on Appointments and of the Board (or its designated committee) having to do with the case for removal that is under consideration, the President shall not participate in the discussion nor cast a vote.
12. The Hearing Committee, once chosen, shall begin its proceedings as soon as possible. The Hearing Committee may engage counsel but shall not engage the University's Solicitor for this purpose.
13. The proceedings of the Hearing Committee shall be conducted expeditiously and in strict fairness to the University and the faculty member concerned. As its first task, the Hearing Committee shall meet with the faculty member concerned and a representative of the President to decide whether or not the proceedings shall be held in camera, as permitted by the *Statutory Powers Procedure Act*. If both parties agree, the proceedings shall be held in camera throughout.

The following procedures shall also be observed:

- a. The members of the Hearing Committee shall select one of their number to act as Chair. The Chair shall have primary responsibility for the orderly conduct of the proceedings.
- b. The University shall be represented during the proceedings by the President or a faculty member chosen by the President as his or her representative.
- c. The Secretary of the Senate shall serve as Secretary and shall be responsible for notifying all persons concerned of the time and place of the proceedings.
- d. The charges against the faculty member shall be restricted in substance to those recorded in the President's letter mentioned in clause 7.
- e. The onus shall be on the University to demonstrate that adequate cause exists for removal of the faculty member.
- f. Although it is possible that at the meeting referred to at the beginning of this clause there was no agreement to conduct all of the review in camera, this shall not preclude the opportunity for the Hearing Committee to conduct a particular session or sessions in camera, if, in its opinion, the interests of any person indicate the desirability of such a procedure. The Committee shall not make such a decision, however, until it has consulted with the faculty member concerned and the representative of the President.
- g. No formal transcript of the proceedings of the Hearing Committee shall be kept; however, the Committee shall have the authority to require that a logged audio recording of all or part of the proceedings be kept. All parties concerned shall have access to the audio recording.

The Hearing Committee has final authority on its own procedures within the limits of Section VI.

14. After the conclusion of the hearing(s), the Hearing Committee shall review and adjudicate the evidence and shall decide, either unanimously or by a majority of the Committee, whether or not adequate cause for removal has been established.

The Hearing Committee shall prepare a written report of its findings of fact, its judgement on the adequacy of the cause, its decision and the justification for that decision.

15. If the Committee decides that adequate cause for removal has been established, it shall so inform the faculty member, the President and the Senate Committee on Appointments. The Senate Committee shall forward the decision to the Board (or its designated committee) as a recommendation that the faculty member be removed. When such a recommendation has been received by the Board (or its designated committee), it shall immediately act upon it as follows:
- a. The Board (or its designated committee) shall invite the faculty member and/or his or her advisor to appear before it to make representations having to do with process of the earlier hearing(s). The substantive findings of the Hearing Committee in regard to the establishment of adequate cause shall not be subject to review in any such meeting between the Board (or its designated committee) and the faculty member and/or advisor.
  - b. If, as a result of the meeting described in subsection (a) above, the Board (or its designated committee) decides that there have been procedural error(s) in the earlier stage(s) of the case, it shall refer the matter back to the Senate Committee on Appointments for advice and comment.
  - c. On the basis of the Hearing Committee's report, the representations, if any, made by the faculty member under subsection (a) above, and any advice received from the Senate Committee on Appointments under subsection (b) above, the Board (or its designated committee) shall decide:
    - i. to remove the faculty member from the teaching staff of the University, or
    - ii. to refer the recommendation back to the Senate Committee on Appointments on procedural grounds.

The decision of the Board (or its designated committee) shall be conveyed in writing to the faculty member concerned as soon as possible, by registered mail to the home address, by the Chair of the Board of Governors. The President and the Chair of the Senate Committee on Appointments also shall be informed immediately of the decision.

A short written summary of the case and the decision, including the findings of the Hearing Committee, shall be prepared by the Secretary of the Board and forwarded to the Senate and the Board of Governors. The summary shall be available for public release if necessary.

16. If the decision under clause 14 above is that adequate cause for removal has not been established, then the Hearing Committee shall decide, either unanimously or by a majority, whether or not the continuation of the faculty member's appointment shall be subject to any stated terms and conditions. If the Committee decides that the continuation of the appointment shall be so restricted, but is unable to reach a majority decision on the question of what should be the terms and conditions, then the following procedure shall be followed: Two members of the Hearing Committee, neither of whom is the Chair, shall each submit in writing to the Chair of the Committee the terms and conditions he or she believes are appropriate. The Chair shall select one of these two proposals as the Committee's decision. If the Hearing Committee decides that some such terms and conditions shall apply, then the following actions shall be taken:
- a. If the terms and conditions include some form of suspension, the Hearing Committee shall so inform the faculty member, and shall forward the corresponding recommendation to the President for action.

- b. If the terms and conditions are of some other form, then they shall be conveyed in writing to the President and to the faculty member concerned, by registered mail to the member's home address. The appropriate University officers also shall be so informed by the Hearing Committee, and shall ensure that the terms and conditions are met.
17. If the Hearing Committee's decision under clauses 14 and 16 above is that adequate cause for removal has not been established and that no sanctions need be imposed, then it shall so report to the President, the faculty member concerned, the relevant Faculty Appointments Committee, and to the Senate, through the Senate Committee on Appointments, and the Chair of the Board. The matter of removal then shall be dropped.
18. If the Hearing Committee has any other recommendations or comments to make (for example, with respect to changes in policy or procedures), it shall make such recommendations or comments to the appropriate University body in a separate document.
19. If the Hearing Committee decides that adequate cause for removal has not been established during the proceedings and that the continuation of the faculty member's appointment shall not be subject to any terms and conditions (see clause 17 above), the reasonable legal expenses incurred by the faculty member shall be borne by the University. If the Hearing Committee decides that some such terms and conditions shall apply to the continuation of the faculty member's appointment, the Hearing Committee shall decide whether the reasonable legal expenses incurred by the faculty member shall be borne by the faculty member, or whether some or all of such expenses shall be borne by the University.
20. A decision of the Hearing Committee shall not be grievable under the Faculty General Grievance Procedure.

## SECTION VII

### **Termination of a Teaching-Track or Permanent Teaching Faculty Position**

1. Teaching-track and permanent teaching appointments may be terminated without fault or cause by reason of curricular change or removal of an area or field (including a change in a contractual arrangement with another educational institution) as determined in an academic plan that has been recommended by the University Planning Committee and approved by the Senate. Such termination will take place only if the Provost determines that the University cannot offer equivalent alternative employment. In making a determination about alternative employment, the Provost will chair a committee of three faculty members, including the Provost, with the other two members chosen in consultation with the Faculty Association.
2. Normally a curricular change that does not involve removal of an area or field would not require approval from the University Planning Committee and Senate, but only from Undergraduate (or Graduate) Council. However, if such a curricular change entails the elimination of a teaching-stream position, it would, under this procedure, necessarily be sent for approval to the University Planning Committee and Senate, so that those bodies would be aware of the particular implication of the change. This procedure means that a Chair or Dean cannot unilaterally and quickly decide to terminate such a position.
3. Notice of termination of a teaching-track or permanent teaching-only appointment by reason of curricular change or removal of an area or field must be given at the time that the curricular change or removal of an area or field starts to move through the approvals process, and, in any event, at least six and a half months before the termination of the appointment.
4. The academic merits of, or financial savings from, a curricular change or removal of an area or field that leads to termination of a teaching appointment cannot be the subject of a grievance.

## SECTION VIII

### Implementation, Promulgation and Revision

1. When the document “McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion (2012)” is adopted, the University shall provide a copy of it (electronic or hard copy) to all persons who are full-time members of the teaching staff and to all full-time members of the teaching staff who are subsequently appointed.
2. The “McMaster University Revised Policy and Regulations With Respect to Academic Appointment, Tenure and Promotion (2007)” are hereby repealed, except as provided for in clause 3. a-h below.
3. The substantive changes between the 1998 document and the 2007 document pertained only to the creation of the teaching-stream positions and to contractually limited appointments, hence those are the only positions for which transition procedures were needed, as follows. These transition procedures are in effect until June 30, 2013. In this clause, a distinction is drawn between an existing position and the incumbent holding that position, where both refer to the situation at the time the 2007 document was adopted.
  - a. Conversion of an existing contractually limited position to a teaching-track position or a tenure-track position is at the discretion of each Faculty Dean.
  - b. Normally, if a contractually limited position is converted to a tenure-track position, there must be an open search. The holder of the current contractually limited appointment may apply, but is not guaranteed the position. However, in exceptional circumstances, a Faculty Dean may consider it appropriate to recommend that the appointment be converted without initiation of a new fully-advertised search. The protocol for such a conversion is set out in Appendix B, SPS A2
  - c. If a contractually limited position is converted to a teaching-track position, the position may be offered to the incumbent without an open search. If the incumbent has held that contractually limited position for more than six years, the incumbent must be offered the position.
  - d. If the holder of an existing contractually limited appointment is offered a teaching-track position, she or he is not obligated to accept it. If the position is declined, for example because the incumbent does not wish to undergo the assessment for permanence that is entailed by the position, the contractually limited position can be renewed for, at most, six more years beyond the end of the academic year in which the offer is made.
  - e. If the holder of an existing contractually limited appointment accepts the offer of a teaching-track position, the faculty member and the Faculty Dean should agree on the amount of time to be credited toward the five-year normal time for consideration for permanence. This amount should be specified in the letter of appointment, and also applies toward the six-year limit for such consideration.
  - f. It is also possible for a contractually limited position to be converted to a special appointment, if the funding conditions for a special appointment are met. In this case also, the amount of time to be credited toward consideration for a continuing appointment without annual review should be specified in the letter of appointment.

- g. If a contractually limited position is not converted to a teaching-track or special position, the individual holding the position may be offered, at most, six more years as a contractually limited appointment beyond the end of the academic year 2006-2007.
  - h. The number and style of reports to Senate were also changed (Section II, clauses 18 and 19). The cumulative nature of the report called for there will be implemented incrementally beginning July 1, 2007.
4. Proposals for amending this document may be made by the administration, the Senate, or the Faculty Association. When such proposals are made, there shall be consultation among these parties.
- a) If the Senate Committee on Appointments and the MUFA Executive agree that the revisions are minor and reach agreement on the revisions, the amendments will be presented to Senate by the Senate Committee on Appointments.
  - b) Otherwise, an ad hoc drafting committee shall be established. The drafting committee, which shall consist of members named by the Senate Committee on Appointments and by the Faculty Association Executive, shall review the proposed amendments and formulate revisions for submission to the Senate and the Board of Governors for approval. During the course of its work, the drafting committee shall ensure that the parties mentioned in the first sentence of this clause are kept fully informed of any proposed revisions, and that their views on any such changes are properly considered.

Approved by Senate - December 14, 2011  
Approved by Board of Governors - December 15, 2011  
For implementation on January 1, 2012

## APPENDIX A

### Pertaining to the Faculty of Health Sciences

The Faculty of Health Sciences is governed by the policy and procedures related to academic appointment, tenure, permanence, and promotion that are described in the main body of this document. The Faculty, however, is different in two important respects:

- Most of the operating funds for the Faculty come from sources that are different from those upon which the University depends and, therefore, a significant number of its faculty members are appointed in the special-stream appointment category (see Section II, clauses 4, 4(c) and (d)), and
- In many of the appointments, whether for contractually limited periods, tenure-track, or special, there is a requirement that clinical work be performed or that major administrative responsibilities in the health care delivery system be discharged. Effective performance of these requirements and responsibilities (as defined in the Clinical Activities Portfolio, SPS B3) will be reviewed when such an appointee is being considered for CAWAR, tenure, and/or promotion. In those appointments where such special conditions apply, they shall be clearly stated in the letter of appointment.

Accordingly, the policy and regulations for the Faculty of Health Sciences include the following amendments or exceptions to the text of the preceding main document.

1. Section II, clause 12(d), is amended by the addition of:

- d. Contractually limited appointments that involve major clinical and/or administrative responsibilities in the health care delivery system may be renewed beyond six years; all such extensions shall be approved by the Faculty Appointments Committee and reported to the Senate Committee on Appointments.

2. Section III. The requirements for tenure and promotion in Health Sciences are interpreted as follows.

A necessary but not sufficient condition for the awarding of tenure and/or promotion in the Faculty of Health Sciences is effective participation in, and contribution to, the education Program(s) of the Faculty and the candidate's teaching ability shall be assessed in the appropriate context(s). In the majority of cases, it shall be expected also, as is spelled out in the main body of this document, that the candidate has demonstrated a commitment to high-quality scholarship and is making the results of this work available in the public domain for peer review. There will be many cases where scholarship will be judged by effective performance of academically oriented clinical activities. These scholarly activities will serve as the second major criterion for the awarding of CAWAR, tenure and/or promotion. These cases shall be identified clearly in the submissions to the various committees through their designation as Clinician Educators. For information on the letters of reference required for candidates in the Clinician Educator category, please see Section III, clause 16 of this document, as well as SPS B9.

3. Section III, clause 39(d): The first sentence of this clause is amended to read as follows:

The Departmental Committee shall inform itself on the teaching abilities, scholarly achievements (including, as appropriate, those related to clinical and administrative activities), and University responsibilities of any candidate under consideration for re-appointment, tenure, CAWAR, and/or promotion.



## APPENDIX B

### SUPPLEMENTARY POLICY STATEMENTS

#### Definitions

In the context of these supplementary policy statements, the following definitions apply:

- a. **“Provost”** means the officer who is the Provost and Vice-President (Academic).  
**“Dean of Graduate Studies”** means the officer who is the Associate Vice-President and Dean of Graduate Studies.
- b. **“Faculty Appointments Committee”** means the committee comprising the Faculty Dean as Chair, the Provost, the Dean of Graduate Studies and the Department Chair as referred to in Section II, clause 16(d).
- c. **“Department”** means a formally recognized academic Department, School, Area or section of a Department, where appropriate.
- d. **“Program”** means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.
- e. **“Tenure-stream”** refers to those faculty with tenure-track or tenured appointments – see Tenure and Promotion Policy, Section II, 4a and 4b.
- f. **“Special-stream”** refers to those faculty with Special Appointments or Continuing Appointments without Annual Review – see Tenure and Promotion Policy, Section II, 4c and 4d.
- g. **“Teaching-stream”** refers to those faculty with teaching-track or permanent appointments – see Tenure and Promotion Policy, Section II, 4e and 4f.
- h. **“Contractually-limited”** refers to those faculty hired for a specific time period – see Tenure and Promotion Policy, Section II, 4g

Unless otherwise specified, any reference to tenure-stream appointments in an SPS should be taken also to mean special-stream appointments.

Unless otherwise specified, any reference in this Appendix to tenure-stream appointments shall also be taken to mean teaching-stream appointments.[Tenure and Promotion Policy Section II, clause 4e]

**A APPOINTMENTS [A1 – A11]**

- 1. Recruitment and Selection of Faculty Members**
- 2. Conversion of an Individual Faculty Appointment**
- 3. Procedures for Other Appointments (except in Health Sciences)**
- 4. Procedures for Other Appointments within the Faculty of Health Sciences**
- 5. Policy on Joint Appointments and Associate Membership**
- 6. Academic Appointment and Assessment of Relatives**
- 7. Spousal Hiring**
- 8. Principles Governing Contractually Limited Appointments**
- 9. Allocation of Teaching-Stream Positions Across Faculties**
- 10. Procedures for Termination of Special or CAWAR Appointments when External Salary Support is Discontinued**
- 11. Policy on Supervision of Graduate Work by Faculty with Other Appointments as defined in SPS3 and SPS4**

**B ACADEMIC ASSESSMENT/CAREER PROGRESSION [B1 – B12]**

- 1. Procedures for the Assessment of Teaching**
- 2. Teaching Portfolios**
- 3. Clinical Activities Portfolio**
- 4. Academic Collaborators in Appointment, Tenure, Permanence and/or Promotion Proceedings**
- 5. Procedures for Selection of and Communication with External and Internal Referees (except those for Clinician Educators)**
- 6. Procedures for Selection of and Communication with External and Internal Referees for Clinician Educators**
- 7. Policy for Referees – Tenure-Stream Faculty**
- 8. Policy for Referees - Teaching Stream Faculty**
- 9. Policy for Referees – Clinician Educator Faculty**
- 10. Material Required by Senate Committee on Appointments on Recommendations re Tenure, Permanence and/or Promotion**
- 11. Curriculum Vitae Requirements**
- 12. Preparation of Dossiers for Tenure/Permanence/CAWAR and/or Promotion**

**C LEAVES AND REDUCED WORKLOAD [C1 – C6]**

- 1. Research Leave Policy – Tenured and CAWAR Faculty**
- 2. Research Leave Policy – Permanent Faculty**
- 3. Unpaid Leaves of Absence**
- 4. Pregnancy and Parental Leave Policy for Faculty and MUFA Librarians**
- 5. Faculty Reduced Workload Policy**
- 6. Faculty Reduced Workload Policy – Phase-in to Retirement**

**D APPEAL AND REMOVAL PROCEDURES [D1 – D3]**

- 1. Procedures for Faculty Appeal Tribunals**
- 2. Faculty Association Observers at Appeal Tribunal Hearings**

**3. Faculty Association Observers at Removal Proceedings**

**E RIGHTS [E1]**

**1. Statement on Academic Freedom**

Complete Policy Title:

**Recruitment  
and Selection of Faculty Members**

Policy Number (if applicable):

**SPS A1**

Approved by:

**Senate  
Board of Governors**

Date of Most Recent Approval:

**December 14, 2011  
December 15, 2011**

Date of Original Approval:

Supersedes/Amends Policy dated:  
**December 11, 1996 (SPS 2)**

Responsible Executive:

**Provost and Vice-President (Academic)**

Enquiries:

[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

The following procedures have been developed for use in conjunction with the *McMaster University Revised Policy and Regulations With Respect to Academic Appointment, Tenure and Promotion* (Tenure and Promotion Policy). They apply to advertising and interviewing for all classes of appointment, including contractually-limited appointments, that may reasonably be expected to be converted to another category of appointment.

The procedures are intended for use principally by Departments but some aspects apply also at Faculty and Senate levels. The emphasis on Departments reflects the fact that most of the collection and assessment of information which leads to recommendations for appointment takes place within them. Departments should follow these procedures or be prepared to justify any departures.

In these procedures, the term "designated groups" means aboriginal peoples, persons with disabilities, members of visible minorities, and women.

## I Principles

The procedures are based upon the principles of academic merit and equity. They aim to identify the most meritorious candidate who is suited to the requirements of the position, the needs of the Department and the goals of the University. The procedures require that criteria and qualifications for positions will be established in a fair and objective manner. Successful candidates will be selected on the basis of a fair assessment of their merit.

When candidates do not differ in merit, other criteria are commonly used to make the selection. If in such an instance one of the equally meritorious finalists is a member of a designated group, departments shall consider the University's employment equity goals.

## II Accountability

Departmental Chairs are accountable to their Deans, and Deans to the Provost for following these procedures. Chairs must submit a recommendation to the Dean for each new faculty position, including rank expectations, salary expectations, space and other resource information, and expected start date, together with the draft advertisement. A budget form must be completed for approval and signed by the Provost and President (where applicable) before the search commences. In the Faculty of Health Sciences, advertisements must be approved by the office of the Dean. In all other Faculties, advertisements must be approved by the Provost's office before being posted.

## III Preparation

When approval to recruit a new faculty member has been given, the Department Chair shall take the following steps before placing an advertisement.

- **Identify those who will make the selection recommendation.**  
Members of one or more of the *designated groups* shall be included when possible in order to provide a perspective that might otherwise be lacking on evaluation and similarly an insight into the interpretation of the experience of candidates who belong to the *designated groups*. In cases in which designated group members cannot be found within a Department, consideration shall be given to inviting Associate Members of the department, or adjuncts, or part-time faculty (Health Sciences) who are members of those *designated groups* to join in the process. All people participating in the selection process are expected to consult the provisions of the Ontario Human Rights Code, the requirements of Employment Equity Legislation, and the Employment Equity plans of the Faculty.
- **Establish evaluation criteria.**  
Departments are encouraged to articulate what qualifications are needed to perform the advertised job. This description shall include the necessary knowledge, skills and demonstrated performance required to undertake

research and/or to teach in the advertised field at the university level. There should be an agreement among those making selection recommendations on the relative importance of individual job criteria, and how the candidates' qualifications will be assessed in relation to the criteria. There should be documentation of the selection criteria to be used and of their relative importance.

All aspects of the evaluation shall be applied consistently to all candidates throughout the process.

Best practice suggests that, before inviting a candidate for interview the Department should (a) invite the applicant to provide an up-dated CV and (b) verify significant features of the CV (e.g. publications).

#### **IV Recruitment**

Advertising as widely as possible should result in a larger pool of applicants which will usually yield a richer choice.

##### **Content of advertisements**

- shall be accurate and informative, reflecting the knowledge, skills and abilities required and stating the expectations and the range of qualifications sought, the rank and the proposed start date. The advertisement shall specify what materials the applicants should submit to the Chair of the selection committee, and the closing date for applications.
- shall include a statement of McMaster's commitment to Employment Equity and be worded to invite applications from qualified members of designated groups (see [McMaster University Employment Equity Statement](#)).
- while a 'Canadians-first' statement is required by Human Resources and Skills Development Canada (HRSDC), the ability to advertise and recruit simultaneously in both Canada and abroad is available in all disciplines. Departments do not have to delay advertising and recruiting of non-Canadians until the search for a qualified Canadian candidate has been exhausted. Advertisements can be directed to both Canadian and non-Canadians at the same time so long as the 'Canadians first' statement is included.
- may list any supportive policies which make McMaster more competitive in the search for qualified members of a designated group.

## **Placement of advertisements**

- placement should ensure that they reach the broadest range of qualified applicants.
- positions must be posted on the Provost's web site under Academic Postings
- advertisements must be provided to the Canadian Union of Public Employees (Local 3906)

## **Acknowledgement of Application**

All applicants shall receive a written acknowledgement that their application has been received.

## **V Preparing the List of Candidates to be Interviewed**

Qualified applicants should be reassessed to determine which of them most fully meet the selection criteria in order of their importance. Selection committee members should keep in mind that atypical career paths do not necessarily imply a lack of qualifications.

## **VI Interviews and Associated Activities**

The procedures to be followed in interviewing and hosting candidates shall be applied consistently to all interviewees. An interview schedule provides the basic framework, and informs each candidate of what to expect. All candidates should have equal opportunities to meet and interact with potential colleagues.

Any person involved in the interviewing process should have received information about those areas in which questioning is prohibited by the Ontario Human Rights Code. If information about any of the prohibited areas is volunteered by a candidate, it shall not be used in assessment.

All people charged with making the selection recommendation shall have equivalent information about each candidate. All candidates should go through the equivalent interview experience and be subjected to equal methods for collecting opinions and evaluating the candidates. For example, if one candidate is asked to give a lecture on an aspect of his or her research, every candidate should be asked to give a lecture of this kind.

## **VII The Employment Offer**

When the assessment of the candidates' qualifications, based on the previously established criteria, is complete, the candidate who is best qualified to meet the

requirements of the job, the needs of the Department, and the goals of the University, should be recommended.

If, in the normal screening process for a position, several candidates are found to be equally qualified, preference given to any one of them who is a member of a designated group will enhance the University's ability to reach its employment equity goals.

In the Faculty of Health Sciences, employment offers are made by the Department Chair, with the approval of the Faculty Dean. In all other Faculties, employment offers are made by the Faculty Dean, with the approval of the Provost. Terms of employment in the offer must comply with all relevant University policies.

If a foreign candidate is hired, a completed 'Foreign Academic Recruitment Summary' form must be submitted to the Provost's office. In the Faculty of Health Sciences, this form must be submitted to the Faculty Relations Office. This form is then sent to HRSDC along with the application for a Labour Market Opinion (LMO) form. The individual can be offered the position but the offer letter must stipulate that the appointment is conditional upon the faculty member obtaining and maintaining appropriate immigration status for employment from the Canadian immigration authorities.

### **VIII Record Keeping**

Each stage of the recruitment and selection process shall be documented. This documentation shall include the basis for all decisions made. Within the limits of privacy legislation, such a record makes it possible to provide a rationale for selection to the Faculty and University, and to any governmental agency that may have an interest. For this reason, because of the amount of time that may elapse before the selection process is actually completed, it is recommended that records be kept for two years. At a minimum, Regulation 460 s.5(1) of the Freedom of Information and Protection of Privacy Act of Ontario states: "Personal information that has been used by an institution shall be retained by the institution for at least one year after use unless the individual to whom the information relates consents to its earlier disposal".



Complete Policy Title:  
**Conversion of an  
Individual Faculty Appointment**

Policy Number (if applicable):  
**SPS A2**

Approved by:  
**Senate**  
**Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011**  
**December 15, 2011**

Date of Original Approval(s):  
**December 14, 2005**  
**May 10, 1999**

Supersedes/Amends Policy dated:  
**December 14, 2005 (SPS 3)**  
**May 10, 1999 (SPS 28)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

All positions must be authorized by the Provost and/or President by means of a fully approved Budget Form. All conversions shall be made by the President on the recommendation of the Faculty Appointments Committee, via the Provost.

### **I Conversion of a Contractually Limited Appointment to a Tenure-Track, Teaching -Track, or Special Appointment.**

Normally, faculty members appointed to contractually-limited appointments (CLA) do not have their positions converted to, or followed by, tenure-track, teaching-track, or special appointments (*McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion*, (Tenure and Promotion Policy) Section II, clause 14). Rather, if such positions become available, the contractually-limited appointee applies to the advertised position on an equal footing as other candidates. However, in exceptional circumstances, perhaps arising from conditions extant at the time of the original appointment to the CLA category, a Faculty Dean, on the recommendation of the Chair, may see it appropriate to recommend that a CLA appointment be converted to, or followed by, a tenure-track, teaching-track, or special appointment without initiation of a new fully-advertised search. The following protocol should be adhered to in these exceptional circumstances:

1. The recommendation forwarded to the Provost for transmission to the President shall include:
  - a. A statement from the Faculty Dean as to how the teaching and research capacities of the candidate support the academic plan of the Faculty or Department.
  - b. An academic assessment of the teaching and research (if applicable) accomplishments of the candidate by the Department Tenure and Promotion Committee. This assessment need not include letters from external referees.
  - c. Documentation of the advertising and interview procedures that were followed at the time the candidate was recruited to the CLA position [see Section II. clause 11(d) of the Tenure and Promotion Policy]. If the procedures used at the time of the original CLA appointment deviated significantly from those followed for tenure-track, teaching-track, or special appointments, the position must be re-advertised [see SPS A1 and Section II. clause 16 (a-m inclusive) of the Tenure and Promotion Policy].
2. The recommendation will be reviewed by the President who, as per Section II. clause 16(l) of the Tenure and Promotion Policy.... "retains discretion over and responsibility for appointments...." The letter of appointment from the President offering the tenure-track or teaching-track appointment will articulate '...the earliest opportunity for assessment for tenure or permanence ...' (Section II. clause 14 of the Tenure and Promotion Policy) so that the academic year in which the candidate will first be considered for reappointment, tenure or permanence review is clearly identified.

## **II Conversion of a Special Appointment or a Continuing Appointment Without Annual Review (CAWAR) to a Tenure-Track or Tenured Appointment Respectively**

Faculty members appointed to special or CAWAR appointments normally do not have their positions converted to tenure-track or tenured appointments when external salary support is lost. Rather, if such a position becomes available, the faculty member applies to the advertised position on an equal footing as other candidates. However, in exceptional circumstances, a Faculty Dean, on the recommendation of the Chair, may see it appropriate to recommend that an appointment be converted without initiation of a new fully-advertised search. The following protocol should be adhered to in these exceptional circumstances:

1. The recommendation forwarded to the Provost for transmission to the President shall include:
  - a. A statement from the Faculty Dean as to how the research and teaching capacities of the candidate support the academic plan of the Faculty or Department.
  - b. An academic assessment of the research and teaching accomplishments of the candidate by the Department Tenure and Promotion Committee. This assessment need not include letters from external referees.
  - c. Documentation of the advertising and interview procedures that were followed at the time the candidate was recruited to the special or CAWAR position [see SPS A1 and Section II. clause 16 (a-m inclusive) of the Tenure and Promotion Policy]. If the procedures used at the time of the original appointment deviated significantly from those followed for tenure-track or tenured appointments, the position must be re-advertised [see SPS A1 and Section II. clause 16 (a-m inclusive) of the Tenure and Promotion Policy].
  
2. The recommendation will be reviewed by the President who, as per Section II. clause 16(l) of the Tenure and Promotion Policy.... "retains discretion over and responsibility for appointments...." A letter of appointment from the President will provide details of the offer of a tenure-track or tenured appointment. Since special and tenure-track are the same academically, the academic year in which the candidate will be considered for re-appointment or tenure review will remain unchanged.

Complete Policy Title:  
**Procedures for Other  
Appointments (except in Health  
Sciences)**

Policy Number (if applicable):  
**SPS A3**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**May 13, 1996 (SPS 4)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

The following procedures must be followed in the making of other appointments.

- a) All appointments will be for a defined duration, as outlined in the letter of appointment, or renewal.
- b) A list of all Adjunct and Visiting appointments of three months and more must be provided by the Provost to Senate, for information, in September of each year. Visiting appointments of less than three months are reported to the Dean for information.
- c) If there are any payments to holders of these types of appointments, those arrangements are the responsibility of the Department or Faculty Office.
- d) Letters for Visiting appointments of less than three months come from the Department. Letters of appointment for all other appointments come from the President and are to be prepared by the Provost. The supporting documentation to be sent to the Provost must include the C.V., the appointment recommendation form and any salary/stipend arrangements (see c)
- e) If a potential appointee holds full-time employment at another university, institution or company then the approval of that 'home' employer should be obtained before any letter of appointment is sent. *In the cases of appointments in categories 1 and 2 below (except for persons visiting while they are on leave from their home employer) this approval should be obtained in writing.*
- f) The participation of any appointee in the graduate work of a Department is subject to the regulations of Senate and the School of Graduate Studies and to the approval of the Dean of Graduate Studies (see SPS A11).

## 1. Adjunct Academic Appointments

- a. The title of 'Adjunct Lecturer', 'Adjunct Assistant Professor', 'Adjunct Associate Professor' or 'Adjunct Professor' should be reserved for persons holding full-time positions at other institutions, or independent scholars who are not employees of McMaster University.
- b. These appointments should be reserved for persons who will have a significant involvement in the teaching and/or research activity of the Department, which may extend beyond one year.
- c. Recommendations from Departments are subject to approval by the Faculty Appointments Committee.

## 2. "Visiting" Appointments

- a. The title of 'Visiting Lecturer' or 'Visiting Assistant Professor', 'Visiting Associate Professor' or 'Visiting Professor' should be reserved for persons visiting for short periods from other universities or institutions. Normally, visiting appointments would not extend beyond one year.
- b. For Visiting appointments of three months and more, recommendations from Departments are subject to approval by the Dean and the Provost.

## 3. In-Residence Appointments

- a. This category of appointment is to allow for the appointment to the University of distinguished performers, artists, writers, industry leaders and other scholars. These appointments will not involve regular teaching duties.
- b. Recommendations from Departments are subject to approval by the Faculty Appointments Committee.

## 4. Industry Professor

- a. This category of appointment is without rank and is reserved for people who have substantial business or industrial experience at senior levels of management.
- b. These appointments should be reserved for persons who will have a significant involvement in the teaching and/or research activity of the Department, usually extending beyond one year.
- c. Recommendations from Departments are subject to approval by the Faculty Appointments Committee.

Complete Policy Title:  
**Procedures for Other Appointments within  
the Faculty of Health Sciences**

Policy Number (if applicable):  
**SPS A4**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**December 14, 2011**

Supersedes/Amends Policy dated:

Responsible Executive:  
**Dean and Vice-President (Faculty of  
Health Sciences)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

The following procedures should be followed in the making of other appointments.

- a) All appointments will be for a defined period, as outlined in the letter of appointment.
- b) All appointments will be reported to the Faculty Executive Council and the Senate Committee on Appointments for information. A list of all Visiting appointments of three months and more will be provided to Senate in September of each year.
- c) Letters of appointment will be issued from the Dean, with the exception of visiting appointments who will receive a letter from the President. The documentation requirements for each type of appointment vary. Complete details on the specific requirements can be obtained from the Faculty of Health Sciences.
- d) The participation of any appointee in the graduate work of a Department or Program is subject to the regulations of Senate and the School of Graduate Studies and to the approval of the Dean of Graduate Studies (see: SPS A11).

## 1. “Visiting” Appointments

- a. The title of "Visiting Lecturer", "Visiting Assistant Professor", "Visiting Associate Professor" and "Visiting Professor" are reserved for persons visiting for short periods from other universities or institutions. Normally, visiting appointments will not extend beyond one year.
- b. The majority of these appointments will be for non-clinical activities. However, should the appointment include a provision for clinical activities, this will be clearly stated in the letter of appointment and it will be the responsibility of the visitor to obtain valid credentials for clinical practice.
- c. Visiting appointments of less than three months are confirmed in writing by the Department, and reported to the Dean for information.
- d. For visiting appointments of three months and more, recommendations from Departments are subject to approval by the Dean and the Provost.

## 2. Part-time Academic Appointments

- a. Faculty members, who are appointed primarily to perform clinical teaching (minimum contribution of 100 weighted hours annually), will be appointed at one of the following ranks dependent on experience and/or academic credentials:
  - i. Clinical Lecturer
  - ii. Assistant Clinical Professor
  - iii. Associate Clinical Professor
  - iv. Clinical Professor
- b. Faculty members, who are appointed primarily to contribute to non-clinical teaching (minimum contribution of 100 weighted hours annually) will be appointed at one of the following ranks dependent on experience and/or academic credentials:
  - i. Lecturer (Part-Time)
  - ii. Assistant Professor (Part-Time)
  - iii. Associate Professor (Part-Time)
  - iv. Professor (Part-Time).
- c. Faculty members, who are expected to provide a minimum of 150 hours of educational contributions over a three year period can be appointed to the following ranks:
  - i. Lecturer (Adjunct)
  - ii. Assistant Clinical Professor (Adjunct)

- d. Part time academic appointments can be renewed for up to three years, with no limit on the number of renewals.
- e. Faculty members appointed at the ranks outlined in (a) and (b) may be promoted to a higher rank. The promotion process will follow that used for full-time faculty, except that it will terminate at the Faculty of Health Sciences level.
- f. Faculty members appointed at the ranks outlined in (c) are not eligible for promotion, however, should the faculty member increase their educational contributions to a minimum of 100 weighted hours per annum, at the time of appointment renewal, the Department may request that the appointee's rank be changed to Lecturer (Part-Time) or Assistant Clinical Professor.
- g. Part time faculty may apply for full-time faculty positions. Those who are successful in obtaining a full-time academic appointment at McMaster University will be appointed at the equivalent full-time rank but will not be accorded tenure, CAWAR or permanence at the time of appointment. At the time of appointment to the full-time faculty, the appointee may ask the Faculty Appointments Committee to take into account the length of the service as a part-time faculty member when determining the eligibility of the appointee for consideration for tenure, CAWAR or a permanent teaching position. The earliest opportunity for assessment for tenure, CAWAR or permanence shall be clearly stated in the letter offering the tenure-track, special or teaching-track appointment. Notwithstanding the opportunity for early consideration for tenure, CAWAR or permanence, the terms and conditions spelled out in Section III clause 28(a) shall apply also.



Complete Policy Title:  
**Policy on Joint Appointments  
and Associate Membership**

Policy Number (if applicable):  
**SPS A5**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**March 24, 1969**

Supersedes/Amends Policy dated:  
**April 11, 1979 (SPS 5)  
December 13, 1978 (SPS 6)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

It is in the best interest of the University to encourage persons to participate when appropriate, in the work of more than one Department. Extensive participation in the work of two Departments should be recognized by a "joint appointment". *Joint appointments should be reserved for those who participate fully in the undergraduate (or undergraduate and graduate) work of two Departments* while those who participate less extensively, but nevertheless on a continuing basis, should receive associate memberships.

## **I Joint Appointments**

- a. Joint appointments, whether or not they involve financial contributions from two Departments can only be made on the recommendation of the two Departments concerned and with the approval of the Faculty Dean(s), Provost, and if graduate work is involved, the Dean of Graduate Studies.
- b. The teaching responsibilities of joint appointees should be by agreement between the two departmental Chairs concerned and with the approval of the Faculty Dean(s).
- c. For faculty members with joint appointments, it is the responsibility of both departments to make recommendations concerning tenure, permanence

---

and promotion to the appropriate Faculty Tenure and Promotion Committee.

- d. Faculty members on a joint appointment may not hold two different academic ranks, even if there are different levels of experience and proficiency in terms of the activities in the two departments of which they are a member.
- e. For faculty members on joint appointments, the Chairs will make merit assessments for the purpose of salary determination and will forward these to their Dean.

In those cases where two Deans are involved, there must be joint consideration and agreement by the two Deans on the merit assessment.

## **II Associate Appointments**

- a. A member of one Department (Primary, P) may be an Associate Member of another Department (Secondary, S):
  - on the invitation of Department S, and
  - with the approval of the Chair of Department P, and
  - with the approval of the Faculty Dean(s) concerned, and
  - for a specified term, normally five years – renewable if the invitation is repeated and new approvals are obtained, and
  - with specific responsibilities and the associated privileges as set out in the letter of appointment from the Provost and any attachments.
- b. Although an Associate Member is properly counted as contributing some fraction of a full-time faculty member to the work of Department S and, by corollary, something less than full-time to the work of Department P, recommendations for salary, tenure, permanence, promotion, etc. will normally be sought from the Chair of Department P only. (In this respect, as in many others, the Associate Member's position differs from that of a person with a joint appointment in two departments).

Complete Policy Title:  
**Academic Appointment and Assessment  
of Relatives**

Policy Number (if applicable):  
**SPS A6**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**June 12, 1974**

Supersedes/Amends Policy dated:  
**June 12, 1974 (SPS 8)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

It is understood that the merit of each individual is the overriding consideration in all matters involving the academic appointment or assessment of faculty. Therefore, the existence of a family relationship shall not prohibit an individual from holding an academic appointment. However, faculty members and academic administrators normally shall not take part in any proceedings at any level (including appointment, salary, tenure, promotion, permanence and research leave considerations) which affect the career of a family member, or former family member (spouse, common-law partner, parent, in-law, sibling, child or step-child). As outlined in the [Code of Conduct for Faculty](#), individuals are required to disclose conflicts of interest or other circumstances which may reasonably introduce or appear to introduce bias into any academic or administrative decision to which they may be a party.<sup>1</sup>

---

<sup>1</sup> Please refer also to the [Conflict of Interest Policy for Non-Academic Employees and Academic Administrators](#).

Complete Policy Title:  
**Spousal Hiring**

Policy Number (if applicable):  
**SPS A7**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**March 9, 2005**

Supersedes/Amends Policy dated:  
**March 9, 2005 (SPS 27)**

Responsible Executive:  
Provost and Vice-President (Academic)

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

In order for the University to compete effectively in the recruitment and retention of faculty, it can be advantageous to find a suitable faculty position for a candidate's spouse. This policy is intended to provide the tools to enable the University to deal with spousal hiring situations.

1. In order for the University to act in a timely manner in a spousal hiring situation, it is important to have the ability to offer a position without advertising. In such situations, all other parts of the interview and evaluation process should proceed as usual.
2. Particularly when more than one department is involved, there needs to be some incentives for the department which is asked to make a spousal hire. In such situations the Dean or Deans and the Provost, in consultation with the affected Department Chairs, should determine what resources are appropriate to facilitate the hiring.
3. Each department has its own standards for faculty hiring (including academic qualifications and experience, research accomplishments, and scholarly reputation), and these should be respected. Candidates who do not meet a department's (or the University's) standards should not be hired.
4. The level of appointment that is appropriate for a spousal hire will vary from case to case, from limited term appointments to tenured professorships. The University should maintain flexibility with regard to the level of spousal appointments, while following procedures appropriate for the proposed level of appointment.

Complete Policy Title:  
**Principles Governing  
Contractually Limited Appointments**

Policy Number (if applicable):  
**SPS A8**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**April 19, 2004**

Supersedes/Amends Policy dated:  
**February 8, 2006 (SPS 30)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

1. All individuals appointed as Contractually Limited Appointments (CLAs) fall under the *McMaster University Revised Policy and Regulations with respect to Academic Appointment, Tenure and Promotion* (the Tenure and Promotion Policy) and shall be MUFA members (except should they choose the opt-out provision).
2. Such contracts shall include benefits that have been negotiated by MUFA (including PDA). For contracts of more than a year, benefits will include pension entitlements, ATB and CP/M increases. For contracts initially of a year or less duration, pension benefits are not available during the first period of appointment. If a subsequent contract is made (see below, clause 8), all benefits that are available to tenure-stream and teaching-stream faculty at the start of employment will be likewise available to the CLA including pension, ATB and CP/M increases.
3. CLAs will normally be contracted for a period of at least one year. Exceptions to the minimum one-year appointment length can never be for less than one academic term and will be allowed only in cases such as the following:
  - a. where a contract becomes available after July 1 of the year in question but is for two terms or more, in which case the contract will not run beyond June 30th of the following year;

- b. where a contract is needed to replace a faculty member taking leave of less than a year's duration;
  - c. to allow for short term appointments of individuals holding full time appointments elsewhere.
4. The Preamble of the Tenure and Promotion Policy allows for contracts at three-quarters of a normal load. However, individuals appointed at three-quarter time must receive an income at least as large as the minimum yearly salary of the Lecturer rank (or, minimum monthly salary for periods shorter than a year as allowed in clause 3). To ensure equity within a Faculty, it shall be the obligation of the Faculty Dean to ensure that appointments made at three-quarter time (or other fractions of a full load) shall be at 3/4 of the load of similar full time contractually limited appointments with similar positions in the Faculty.
5. CLA contracts shorter than a year (as allowed in clause 3) will have benefits as if they were appointed on a year's contract, and a pro-rated PDA.
6. MUFA will be informed annually in October of all appointments (since the last report) of less than 12 months duration and the reasons for the appointments.
7. Any renewal or extension of an initial contract must be for 12 months or more.
8. Any appointment of an individual to a CLA within 2 years following the end of a contractually limited appointment shall be deemed a continuation of an appointment. The appointment shall be for a year or more in duration (except in the type of circumstances outlined in clause 3 above). In determining the salary for the new contract, the ATB and CP/M increases that were available at the end of the academic year that was previously served will be incorporated, but additional increases (that are mandated by the negotiated compensation agreement) for the period during the gap need not be incorporated unless an increase is required to meet a salary floor for the appropriate academic rank.
9. The letters of appointment for all CLA contracts shall include an indication of the basis upon which merit shall be awarded beyond the first year of the contract (for example, 80% teaching and 20% service). This applies even to contracts of a year or less duration as they may be renewed or continued in the future.
10. Normal departmental processes for the review of faculty members shall be used to determine CP/M.
11. Decisions regarding renewal of CLAs shall be made as early as possible. If budgetary approval has been received before April 1 every attempt shall be made to fill the position by April 30.

Complete Policy Title:  
**Allocation of Teaching-Stream  
Positions Across Faculties**

Policy Number (if applicable):  
**SPS A9**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**December 13, 2006 (SPS 29)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

1. The number of teaching-stream positions in each Faculty shall not exceed the numbers shown here:

<b>Faculty</b>	<b>Maximum number of teaching-stream appointments</b>
Business	6
Engineering	8
Humanities	9
Science	15
Social Sciences	13

2. No upper limit is set for the Faculty of Health Sciences because of its very different set of funding sources, and the numbers of contractual arrangements that occur with outside agencies such as the Ministry of Health and Long-Term Care. Teaching-stream positions can be created in Health Sciences in essence without limit, because the need for them will depend on the number and duration of such commitments that are made outside the scope of the Ministry of Training, Colleges,

and Universities. Termination of such positions at the time of non-renewal of one of those contracts will need to be made in accordance with Section VII of the *McMaster University Revised Policy and Regulations With Respect to Academic Appointment, Tenure and Promotion* (Tenure and Promotion Policy).

3. Revision of the numbers identified in the table above will be discussed first at the Joint Committee. Any agreement there will be sent via the Senate Committee on Appointments to Senate for modification of this Supplementary Policy Statement.



Complete Policy Title:  
**Procedures for Termination of Special  
or CAWAR Appointments when  
External Salary Support is Discontinued**

Policy Number (if applicable):  
**SPS A10**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**April 8, 1998 (SPS 26)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

1. At the time that a special appointment is made or CAWAR is granted, the Presidential letter of appointment shall indicate clearly the relationship between these appointments and external funding.
2. The Employment Standards Act (ESA) contains minimum obligations related to notice and severance payments based on years of service. An individual Faculty has the right to adopt a Faculty-wide policy with respect to notice and/or severance which is more generous than the ESA requirements. Any such policy must include a description of the process by which such decisions will be made.
3. The policy of the University is NOT to require phase-out salary support when external support lapses for a faculty member with a special or CAWAR appointment. An individual Faculty has the right to adopt a Faculty-wide policy with respect to phase-out funding upon expiration of salary support. Any such policy must include a description of the process by which decisions to support individuals will be made.
4. Any recommendation for a Faculty-wide policy with respect to notice and/or severance or with respect to phase-out funding, must be approved by the relevant Faculty Council or Faculty, as appropriate, submitted to the Senate Committee on Appointments for approval and included as an Appendix to this SPS document<sup>1</sup>. If a Faculty adopts a policy with respect to phase-out funding, it shall report to the Provost, annually, the number of faculty being supported on phase-out funds.

---

<sup>1</sup> See Appendix A -Faculty of Health Sciences Procedures

5. Each individual Faculty is responsible to provide all funds used in support of severance and phase-out for special and CAWAR faculty and will obtain such funds from either external sources or from their Faculty budget envelope.

## APPENDIX A to SPS A10

### **FACULTY OF HEALTH SCIENCES** **PROCEDURES FOR TERMINATION OF FACULTY WITH SPECIAL OR CAWAR** **APPOINTMENTS**

1. Consistent with University Senate procedures (SPSA10), when salary support of a faculty member with a special or CAWAR appointment who is paid through the University<sup>2</sup> is withdrawn or discontinued, before the academic appointment is terminated a notice period will be given.
2. When salary support is withdrawn or discontinued for a faculty member with a special or CAWAR appointment who is paid through the University, the Faculty of Health Sciences will, subject to clause 3 below, provide the faculty member with twelve (12) months' notice of termination of their faculty appointment. It is expected that the notice of termination is provided prior to the salary support ending and therefore the notice period is funded by the original source of salary support.
3. In those circumstances where an outside funding agency withdraws its funding for a special or CAWAR appointee on the university payroll with insufficient notice, the Faculty will ensure that a minimum of six (6) months of notice is provided through a combination of funding from the outside agency and/or their academic Department.
4. During the notice period, if the faculty member secures an alternative funding source, then the notice of termination will be rescinded. However, in the absence of other sustainable funding, the academic appointment will terminate at the end of the notice period.
5. When the faculty appointment is funded by a career award or an endowed chair with a known expiry date, then notice of termination will be provided prior to the end of the funding. The end date for the faculty appointment will coincide with the expiry of the career award or the funding associated with the appointment to the endowed chair.
6. The Employment Standards Act (ESA) contains minimum obligations related to notice and severance payments based on years of service. The ESA working notice obligations are exceeded by the notice period as described in paragraph 2 and 3 above. Severance

---

<sup>2</sup> In the Faculty of Health Sciences, there are a limited number of special and CAWAR faculty who are paid directly by an outside employer (i.e. whose salary does not flow through the University). In the absence of sufficient funding for the position, the outsider employer provides notice of termination of their employment and promptly notifies the University of the upcoming change in employment status. Since it is not the employer, the University does not assume any financial responsibility for notice and/or severance for these individuals.

payments for faculty members will be calculated in accordance with the Employment Standards Act. The severance payment will normally be funded by the external agency. However, in the absence of funding from the outside agency, it will be funded by their Department.

7. Consistent with University Senate procedures (SPSA10), the Faculty of Health Sciences does not provide phase-out salary support when support of a faculty member on a special or CAWAR appointment is terminated. Where desired by the faculty member, the ESA severance payment may be structured as salary continuance with continued academic duties. In effect, the ESA severance is used to extend the working notice period.
8. This policy replaces the previous procedures dated March 9, 1994. All new hires as of December 15, 2011 will fall under these procedures. Effective December 15, 2012, these procedures will apply to all special and CAWAR faculty hired before December 15, 2011.

Complete Policy Title:  
**Policy on Supervision of Graduate Work  
by Faculty with Other Appointments, as  
defined in SPS A3 and SPS A4**

Policy Number (if applicable):  
**SPS A11**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**December 14, 2011**

Supersedes/Amends Policy dated:  
**September 11, 1983 (SPS 7)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

It is the responsibility of the department/program to ensure that every graduate student has, at all times, a faculty advisor or a properly constituted supervisory committee (see [Graduate Calendar](#)). The following regulations cover the involvement in graduate student supervision of persons who hold Other Appointments as outlined in SPS A3 and A4.

## **I Principal Supervisor of Graduate Students**

Former full-time McMaster faculty must obtain an adjunct faculty position (see SPS A3) or other part-time faculty position (see SPS A4) to continue as the principal supervisor of a graduate student. When such an appointment is offered to a former faculty member who is now employed at another university, the other affiliation of the adjunct faculty member shall be listed in the Calendar.

The case may be made for appointment as principal supervisor of an adjunct or other part-time appointee, as listed in SPS A3 or A4, who is not a former full-time member of the McMaster faculty. The appointment of such an individual as the principal supervisor of a graduate student is subject to the prior approval of both the Dean of the relevant Faculty (or delegate) and the Dean of Graduate Studies (or delegate, e.g. Associate Dean, Graduate Studies).

The appointee's students should be treated like the other students of the Department and this requires that the appointee must fully understand the Department's policies and standards and share the responsibility for maintaining them.

## **II Membership on Supervisory Committees**

Adjunct and other part-time appointees as listed in SPS A3 and A4 may participate as a member of the supervisory committee of a graduate student, with the approval of the Chair of the Department in which the student is enrolled, and of the Dean of Graduate Studies (or delegate).

Complete Policy Title:  
**Procedures for the Assessment of Teaching**

Policy Number (if applicable):  
**SPS B1**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**November 10, 1993**

Supersedes/Amends Policy dated:  
**April 8, 2009 (SPS 10)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I Effective Teaching**

Effective teaching is a condition for promotion through the professorial ranks, the granting of tenure or permanence, salary increments based on merit, and University teaching awards (the President's Awards). These processes allow opportunities for the improvement of teaching through formal and informal feedback. Such feedback is particularly important for faculty at the beginning of their teaching careers, where it can and should provide a useful contribution to the development of teaching skills.

The general expectations regarding teaching effectiveness and illustrations of how this can be evaluated are contained in Section III, clauses 4 to 10 of the *Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion* (Tenure and Promotion Policy). Procedures for such assessments are described below. In general, they involve two components: assessment by students and assessment by peers. The process of peer assessment is a cooperative one, involving the faculty member and the Department Chair and possibly other departmental colleagues and/or external assessors.

## II Procedures for Student Evaluations of Teaching

It is the responsibility of the Dean of each Faculty to ensure that these procedures are followed.

1. Student evaluation by questionnaire shall be performed for every undergraduate course (including summer courses), toward the end of the course, every time the course is offered. Students should be informed at the beginning of each course that they will be expected to participate in these evaluations.
2. Each Faculty shall develop a standard, Faculty-wide student evaluation questionnaire that shall include as the first question a single summative question common to all university courses. The summative question is: *“Overall for this course, what is your opinion of the effectiveness of the instructor?”* This questionnaire may be customized for the needs of individual instructors and/or departments. At a minimum, the rating of the summative question, with departmental context, must be included in all tenure/permanence and promotion recommendations as part of the Departmental Teaching Evaluation Report (see SPS B8).
3. It should be made clear to the students that the instructor is not involved in the administration or the analysis of student questionnaires.
  - (a) Paper questionnaires should be distributed and collected during class time by someone other than the instructor. The instructor shall not be present during this procedure. Completed questionnaires should be returned by someone other than the instructor to the departmental office.
  - (b) Questionnaires may be administered on-line. On-line questionnaires must be made available to students only during the last two weeks of classes before the commencement of the final examination period and before final course grades are known.
4. Information from the student evaluation questionnaires will be consolidated by the Department or Senate-approved Program<sup>1</sup> into a report, consisting of a tabulation of the numerical data. Departments will provide all instructors with contextual data (averages and medians, ideally a histogram) for all the courses given in each term. This report will be used by the department as input for promotion, tenure, permanence, and/or salary reviews, and a copy will be given to the instructor after the final grades have been submitted.

---

<sup>1</sup> “Program” means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.

### III Procedures for Departmental Evaluation of Teaching

Sound evaluation of teaching mandates evaluation by multiple people, on multiple occasions and in multiple contexts. The product of the evaluation process will not be a uniform document, rather teaching is complex and the product of evaluation of teaching may also be complex. Faculty members use a variety of pedagogies and work with students in multiple settings with multiple aids. For this reason, departmental evaluation cannot take the form of a single classroom visit, or an opinion expressed by a single individual after review of a single component of teaching, for research has shown that this method of evaluating teaching is unreliable. Instead, departmental evaluation must adhere to the principles of involving more than one evaluator and more than one site or occasion of evaluation.

A teaching portfolio structured in accordance with SPS B2 or SPS B3 would allow peers to evaluate the appropriateness of the individual's teaching approach, effectiveness of his or her teaching practice, the robustness of the evidence adduced in support of the instructor's effectiveness, and the importance of the individual's teaching contributions. It will also facilitate yearly annual review and discussion of teaching between the Department Chair and each faculty member, as well as the departmental evaluation that is part of tenure, promotion and/or permanence processes.

Conversational interviews about the contents of the portfolio between the instructor and the peer evaluators offer a good practice for evaluation, since they prepare the ground for informed and nuanced assessments of the instructor's teaching. A sound practice would be the review of the teaching portfolio by several colleagues. Colleagues may be experienced individuals who are members of the department or of other departments in the University.

To the extent that the students' ratings feature in the consideration by departments, or in the portfolios prepared for tenure and promotion or permanence, it is critical that these numerical ratings be set in the context of all the teaching done by the department. At a minimum this context should include the averages and medians of the scores for the summative question(s) for all courses, with distinction as appropriate, e.g., by level. It may be appropriate to weight the results for different courses by the number of responses.

It is expected that candidates for re-appointment, permanence, tenure or promotion will have an appropriate review of their teaching portfolios at the department level and that the department will construct a departmental report, incorporating the elements of the teaching portfolio that capture the substance of activities.



#### **IV Departmental Teaching Evaluation Report**

The department's submission on the evaluation of teaching for reappointment, tenure, permanence and/or promotion, which forms part of the dossier outlined in SPS B8, is not limited in length and should minimally contain commentary with respect to all of the following elements that are relevant:

1. annual review, and results of subsequent discussion with the candidate, of the Executive Summary (Part A) of the teaching portfolio (see SPS B2). Results of this discussion will be recorded in writing and agreed to by both parties.
2. observations from peers' visits to lectures or other teaching situations and evidence that the observations have been discussed with the colleague.
3. significant contributions to the curriculum. For example, this may take the form of well considered, evidence-based development in one's own course or across the curriculum or evidence of innovative teaching practice.
4. significant contributions to the development of course materials.
5. significant participation in pedagogical discussions with students, colleagues, TAs, in the department or elsewhere.
6. evidence of incorporation of some form of formative evaluation in courses and evidence of response to the concerns of students.
7. information on the common summative question on the student evaluation questionnaire should be provided in tabular form, including for each course, the number of students registered, the response rate, along with the mean, median and standard deviation. These numerical ratings should be set in the context of all the teaching done in the department and should, at a minimum, include the means and medians (better a histogram) of the scores for the summative question for all courses with possible distinctions by level as appropriate. Evaluation information should cover all courses taught during the previous five years of service at McMaster University.

Complete Policy Title:  
**Teaching Portfolios**

Policy Number (if applicable):  
**SPS B2**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**April 8, 2009 (SPS 10)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

A teaching portfolio is a record of a faculty member's teaching methods, accomplishments and goals. One purpose of a teaching portfolio is to represent the faculty member's involvement in teaching to potential reviewers.

Every faculty member should have a teaching portfolio, which he/she updates regularly. The portfolio is owned by the faculty member and may contain any and all information that the faculty member wishes to document.

## **Structure of Teaching Portfolios**

The portfolio consists of two main parts, Part A – Executive Summary, which consists of the items (i) – (v) listed below and Part B – Supporting Documentation, which is optional and may contain additional material compiled by the faculty member in support of Part A.

- (i) description of responsibilities and mechanism of evaluation drawn from the appointment letter, or updates thereto (maximum one page);
- (ii) description of teaching approach/philosophy (about one page);
- (iii) description of teaching practice, including examples of how the approach/philosophy has been realized, or how teaching has been adapted to unusual conditions (one to two pages);
- (iv) description of contributions to teaching, for example, course design, publications and research on teaching and learning, presentations on teaching and learning, professional development, educational leadership, reports on issues pertaining to teaching and learning (about one page);

- (v) complete details of responses to the summative question in the students' ratings of all courses taught over the past five years. The numerical ratings should be set in the context of all the teaching done in the department and should, at a minimum, include the means (better a histogram) of the scores for the summative question for all departmental courses with possible distinctions (e.g., by level). It is the responsibility of the Department Chair to provide all instructors with contextual data for all the courses given in each term.

This structure of the teaching portfolio accords with best practice and will ensure that departmental evaluation of a candidate's teaching can be conducted most effectively. The above elements of Part A constitute, in effect, an "executive" summary of a potentially much larger portfolio. The intent of this summary is to provide a means to manage the larger portfolio rather than to require that all such portfolios have a distinct length and uniformity. For example, the supporting documentation in Part B could record the changes and evolution in the items (i) through (iv) and collect relevant items such as course outlines, exams and assignments.

Students' comments are not to be included in the Executive Summary – Part A, or in the Departmental Evaluation Report. Anonymous statements from students are unreliable and typically unverifiable, and a summative evaluation (such as is conducted when candidates are considered for tenure and promotion or permanence) should not be based, in whole or in part, on such comments.

When a candidate is being considered for re-appointment, permanence, tenure or promotion the teaching portfolio will be reviewed at the department level, and the department will construct a departmental report, incorporating the elements of the Executive Summary that capture the substance of activities (see SPS B1).

Complete Policy Title:  
**Clinical Activities Portfolio – Clinician  
Educators, Faculty of Health Sciences**

Policy Number (if applicable):  
**SPS B3**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
December 14, 2011  
December 15, 2011

Date of Original Approval(s):  
**February 23, 2004**

Supersedes/Amends Policy dated:  
**February 23, 2004**

Responsible Executive:  
**Dean and Vice-President (Faculty of  
Health Sciences)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

A clinical activities portfolio is a record of a faculty member's activities that relate to the integration and application of knowledge in the clinical setting as well as dissemination of best clinical practice. One purpose of a clinical activities portfolio is to provide systematic information for academic review and assist arm's length reviewers in making a knowledgeable assessment of the individual's clinical contributions.

Every faculty member in the clinician educator stream should have a clinical activities portfolio, which he/she updates regularly. The portfolio is owned by the faculty member and may contain any and all information that the faculty member wishes to document.

When a candidate is being considered for re-appointment, CAWAR, tenure and/or promotion the clinical activities portfolio will be reviewed at the department level, and the department will incorporate the elements that capture the substance of activities and will include this information in the departmental report.

### **Structure of Clinical Activities Portfolios**

The portfolio consists of two main parts:

#### **Part A –Clinical Scholarly Activity Tracking**

Within this section, the faculty member is expected to track all clinical scholarly activity, including the date and ideally, the impact of the activity. The information collected in this portfolio will be reviewed during annual reviews as well as when a candidate is being considered for CAWAR, tenure and/or promotion. This section may also include

supporting documentation and additional materials compiled by the faculty member resulting from the clinical scholarly activities.

The following are examples of the types of activity that should be tracked in the portfolio. These will be used to assess effectiveness and scholarly contributions in the area of clinical service. Additionally, any efforts undertaken regarding ongoing self-evaluation and upgrading in relation to clinical activities should also be included in the portfolio.

- Development of a special program that attracts referrals and enhances the reputation of the University based on clinical best practice methods
- Playing a key role in the development of clinical practice/development of clinical practice guidelines
- Development of written, video, audio or computer-based teaching materials for professional or lay groups specifically targeted for the advancement of patient care
- Dissemination of best practice findings through oral presentations such as invited talks, Grand Rounds, CME events
- Written scholarship that advances the field. (Dissemination of findings through publication of case reports or reports of clinical investigations; reviews, commentaries, or analytic studies in peer-reviewed journals or text that organize, synthesize and convey clinical knowledge in a way that enhances the practice of medicine)
- Involvement in administrative activities that support and enhance University based patient care and/or teaching in the clinical settings (e.g., Head of a clinical service, program or clinic)
- Serving as a member or leader on major committees, licensing or accrediting bodies and/or professional societies relevant to the candidate's field, quality assurance committees, etc
- Serving as an exceptional role model in the provision of optimal patient care
- Other contributions to your discipline or special area of interest which have promoted scholarship and excellence in the clinical setting (e.g., creation of methods to evaluate outcomes of care; contributing to improvement of a training program within the clinical unit; introduction of journal clubs or case conferences dedicated to the provision of quality patient care; editorial responsibilities on medical journal boards)
- Receipt of formal awards/recognition for excellence in clinical service

### **Part B – Summary Statement**

This is a 1-2 page document which summarizes the information collected in Part A. This summary also forms part of the Candidate's statement required for academic reviews (see SPS B12).

This statement should summarize the academic clinical activities undertaken during the period under review in as many of the above noted areas as are relevant. A sample template for this portfolio is available from the Faculty of Health Sciences, Faculty Relations.

Complete Policy Title:  
**Academic Collaborators in  
Appointment, Tenure, Permanence and  
Promotion Proceedings,  
Statement on**

Policy Number (if applicable):  
**SPS B4**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**February 27, 1990**

Supersedes/Amends Policy dated:  
**December 9, 1998 (SPS 11)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

A faculty member who is a significant collaborator with a candidate for appointment, tenure/permanence, promotion, or re-appointment may be - or may be perceived to be - in a conflict of interest. It follows that a faculty member who is a significant collaborator should recuse himself/herself from participation in any committee (Departmental, Faculty or Senate) while the case of the candidate in question is being considered and voted on.

Whether or not an individual is a "significant" collaborator must be judged on a case-by-case basis. The faculty member sitting on the Appointment Committee, Tenure and Promotion Committee or on the Senate Committee on Appointments will in most cases be the one in the best position to know the degree of collaboration and to decide whether or not to exclude himself/herself from judgments in so far as they may be, or be perceived to be, judgments on himself or herself. The Chair of the Committee should raise the issue of potential conflict of interest if, (1) in an appointment process any candidate was supervised in his or her graduate work by a member of the Committee or is currently working or has worked as a post-doctoral fellow with one or more members of the Committee, and (2) a *curriculum vitae* for any candidate shows the name(s) of one or more Committee members as co-author(s) or co-investigator(s). In such circumstances, the Chair will ask the Committee member(s) to outline the nature and extent of the relationship with the candidate. The Committee member(s) will then absent themselves from the meeting while the Committee considers the potential

conflict and votes on the issue. In the event that the chair is a collaborator, another Committee member will be asked to chair the Committee while the issue of potential conflict is resolved. If the chair is deemed to be in a conflict, the Committee will appoint another member to chair that portion of the meeting and the chair will absent himself/herself and record a technical abstention. If the Committee is unable to reach a consensus on whether or not a conflict exists, the matter will be referred to the Senate Committee on Appointments for a final determination. If the Committee believes that the collaboration is indeed significant, the Committee is bound to declare that such a conflict exists. Once a ruling has been made that a conflict of interest exists, the collaborator must absent himself/herself during discussion and voting on the case. When a ruling is made that a conflict does or does not exist, this ruling must be accepted at subsequent levels. In order to ensure that this is done, a statement about the potential conflict must become part of the documentation of the case.

Complete Policy Title:  
**Procedures for Selection of and  
Communication with External and  
Internal Referees (except those for  
Clinician Educators)**

Policy Number (if applicable):  
**SPS B5**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**September 27, 1993**

Supersedes/Amends Policy dated:  
**February 25, 2002 (SPS 12)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## I Number of Referee Letters

1. In all cases for tenure and promotion of tenure-stream faculty, the department must obtain written judgments on the quality of the candidate's scholarly work from at least three referees external to the University. The referees must be scholars who have respected national and/or international reputations and can assess whether the candidate is known widely on the basis of scholarship, however that may be defined in the discipline in question.
2. In the case of teaching-stream appointments, letters of reference from external sources are **not** required as part of the process for granting permanence.
3. Promotion of teaching-stream faculty to the rank of Associate Professor requires at least two referees external to the Department or Program in which the candidate is employed, at least one of whom must be external to the University. The referees must be experts with regard to teaching and learning who can assess whether the candidate is known widely on the basis of contributions to pedagogy.
4. Promotion of teaching-stream faculty to the rank of Professor requires letters from at least three referees external to the University. The referees must be experts with regard to teaching and learning who can assess



whether the candidate is known widely on the basis of contributions to pedagogy.

5. Although a minimum number of referees must be consulted, additional referees may be used.
6. All letters solicited from referees in accordance with SPS B5 must be made part of the file.
7. *Written* responses must be obtained from the appropriate number of referees in time for all deadlines to be met. Chairs should be aware that a certain number of external referees either do not reply, or have replied in vague and unsatisfactory ways to requests for appraisal. It is therefore highly desirable that the initial solicitation for external appraisals begin early enough to allow for those special cases where additional letters must be sought.

## **II Generation of the List of Potential Referees**

1. To avoid a possible conflict of interest, referees should not:
  - a. have been a research supervisor or graduate student of the candidate within the past ten year(s);
  - b. have collaborated with the candidate within the past ten years or have plans to collaborate in the immediate future;
  - c. be an employee of a non-academic organization with which the candidate has had collaboration within the past ten years; or
  - d. be in any other potential conflict of interest (e.g., personal, financial).
2. Except in unusual circumstances, a referee must already hold at least the rank or its equivalent for which the candidate is being considered.
3. In the case of tenure and promotion of tenure-stream faculty, the Department Chair, in consultation with senior colleagues, draws up a list of at least six possible referees known for their work in the relevant field.
4. In the case of promotion of teaching-stream faculty to the rank of Associate Professor, the Department Chair, in consultation with senior colleagues, draws up a list of at least four possible referees known for their work in the field of teaching and learning.
5. In the case of promotion of teaching-stream faculty to the rank of Professor, the Department Chair, in consultation with senior colleagues, draws up a list of at least six possible referees known for their work in the field of teaching and learning.

6. In all cases, advice from the candidate may be sought, but the candidate should not simply be asked to draw up the list of potential referees.
7. In the case of a faculty member who participates in a Program<sup>1</sup>, the Director of the Program should be consulted.

### **III Approval Process for the List of Potential Referees**

1. The list of potential referees should be approved by the Dean prior to showing it to the candidate, who has the right to object and give reasons for objecting, to any person or persons on it. The candidate also has the right to suggest appropriate additions to the list, with reasons.
2. The candidate must confirm in writing to the Chair that she or he has seen the list of referees and has had an opportunity to register any objections. In such circumstances, the Department Tenure and Promotion Committee must consider any such objection(s), but retains the right to select the referee(s) in question, and must inform the Faculty Tenure and Promotion Committee of the objection(s) and its decision(s) concerning the referee(s).

### **IV Material Sent to Referees**

1. an up-to-date curriculum vitae(prepared in accordance with SPS B11) which includes a complete list of the candidate's publications.
  - The candidate may indicate which papers are to be sent to the referee (no limit) and the Department chair may send additional publications but, when doing so, must inform the candidate.
2. in the case of tenure and/or promotion considerations for tenure-stream faculty, a statement by the candidate on his/her research, such statement not to exceed two pages in length (see item 3 a), SPS B12).
3. in the case of promotion considerations for teaching-stream faculty, a statement by the candidate on his/her pedagogical research/scholarship, such statement not to exceed two pages in length (see item 3 b), SPS B12).
4. the "Policy for Referees" (SPS B7, or B8 as appropriate).

---

<sup>1</sup> "Program" means a Senate-approved, interdisciplinary course of study at the undergraduate or graduate level which is not the sole administrative and academic responsibility of any one Department.

5. Referees must be informed by the Chair if a candidate has had the timing of his or her tenure, permanence and/or promotion review changed for legitimate cause; the referees will be informed of the timing change, but not of the reasons.

Complete Policy Title:  
**Procedures for Selection of and  
Communication with External and  
Internal Referees for Clinician  
Educators**

Policy Number (if applicable):  
**SPS B6**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**February 23, 2004**

Supersedes/Amends Policy dated:  
**February 23, 2004**

Responsible Executive:  
**Dean and Vice-President (Faculty of  
Health Sciences)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

Within the Faculty of Health Sciences there are faculty members with significant clinical responsibilities, many of whom will be reviewed as Clinician Educators. These faculty members are recognized under Appendix A of the *McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion*.

The following procedures must be followed with respect to referees for faculty who have been identified as Clinician Educators.

## **I Referee Letters**

1. It is generally accepted that an assessment by other clinicians working in the same or closely related specialty area, is the best way of determining the quality of clinical scholarly work.
2. In all cases for CAWAR or tenure of faculty who have been identified as Clinician Educators, the department must obtain written judgments on the quality of the candidate's clinical scholarly work from at least three referees. These referees may be either internal or external to the University.

3. Promotion of faculty, who have been identified as Clinician Educators, to the rank of Professor requires letters from at least three referees external to the University. Referees must be individuals who have attained a respected national or international reputation in the appropriate fields, and can assess whether the candidate is known widely on the basis of scholarship. Although it is preferable for referees for the Clinician Educator to be at “arm’s length” this not always possible. Excellence in clinical contributions can sometimes require evaluation on the part of a colleague who has collaborated in, for example, the development of clinical practice guidelines. Consequently, these external referees will clarify the nature of this relationship to avoid any perceived conflict of interest. However, current collaboration will be precluded.
4. Although a minimum number of referees must be consulted, additional referees may be used.
5. All letters solicited from referees in accordance with this SPS must be made part of the file.
6. Written responses must be obtained from the appropriate number of referees in time for all deadlines to be met. Chairs should be aware that a certain number of referees either do not reply, or may reply in vague and unsatisfactory ways to requests for appraisal. It is therefore highly desirable that the initial solicitation for appraisals begins early enough to allow for those special cases where additional letters must be sought.

## **II Generation of the List of Potential Referees**

1. In many cases, the people who would be able to provide the most insight into a faculty member’s clinical scholarly activities are those who could pose a conflict of interest. This is especially true in small departments and in very specialized areas of clinical expertise. In these instances, the Departmental Committee will use their best judgment when seeking referees and will clearly identify and explain any potential for conflict of interest for any of the people included in the list of potential referees. It is understood that faculty members who would directly benefit from the results of the tenure and promotion process are in conflict of interest. Further, direct supervisors are usually seen as a conflict of interest, except in those cases where the direct supervisor also holds a leadership role within the department and is asked to comment based on that role. Additionally, care should be taken to avoid other potential conflicts of interest including, but not limited to, former students, personal and/or financial conflicts.
2. Except in unusual circumstances, a referee must already hold at least the rank or its equivalent for which the candidate is being considered.

3. In the case of tenure and promotion of tenure-stream faculty or CAWAR and promotion of Special-stream faculty who have been identified as Clinician Educators, the Department Chair, in consultation with senior colleagues, draws up a list of at least six possible referees known for their work in the relevant field. As noted above, requirements regarding the number of internal and/or external referees are dependent on the review type.
4. In all cases, advice from the candidate may be sought, but the candidate should not simply be asked to draw up the list of potential referees.
5. In the case of a faculty member who participates in a Program, the Director of the Program should be consulted.

### **III Approval Process for the List of Potential Referees**

1. The list of potential referees should be approved by the Dean prior to showing it to the candidate, who has the right to object and give reasons for objecting, to any person or persons on it. The candidate also has the right to suggest appropriate additions to the list, with reasons.
2. The candidate must confirm in writing to the Chair that she or he has seen the list of referees and has had an opportunity to register any objections. In such circumstances, the Department Tenure and Promotion Committee must consider any such objection(s), but retains the right to select the referee(s) in question, and must inform the Faculty Tenure and Promotion Committee of the objection(s) and its decision(s) concerning the referee(s).

### **IV Material Sent to Referees**

1. An up-to-date curriculum vitae, prepared in accordance with SPS B11
2. A statement by the candidate on his/her clinical scholarly activities, educational activities and administrative and/or research activities as applicable (see item 3 a), SPS B12).
3. The candidate bears responsibility for determining which, if any, additional documentation is to be provided to the referee.
4. A copy of SPS B9, "Policy for Referees"
5. A copy of SPS B3, "Clinical Activities Portfolio".
6. Referees must be informed by the Chair if a candidate has had the timing of his or her tenure, CAWAR and/or promotion review changed for legitimate cause; the referees will be informed of the timing change, but not of the reasons.

Complete Policy Title:  
**Policy for Referees – Tenure-Stream  
Faculty**

Policy Number (if applicable):  
**SPS B7**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**April 25, 1995**

Supersedes/Amends Policy dated:  
**April 22, 2002 (SPS 13)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

McMaster University's *Policy and Regulations with respect to Academic Appointment, Tenure and Promotion* (Tenure and Promotion Policy)<sup>1</sup> states, "In all cases where it sends forward a recommendation relating to tenure and/or promotion the department shall have obtained written judgments on the quality of the candidate's scholarly work from at least three referees outside of the University. Care shall be taken to ensure that the referees are at 'arm's length' from the candidate" [III.13]. **If you have any connection with the candidate, please indicate the nature of the connection.**

The Tenure and Promotion Policy also contains the following comments about a candidate's scholarly work.

The search for new knowledge, whether it be in the form of new understandings of the natural world or new interpretations of the human one, is an essential part of the role of the modern university. Hence, it is expected that all faculty members will be engaged in some form of scholarly activity and the assessment of the quality of this work will be a key factor in the consideration of each faculty member's case for re-appointment, tenure and/or promotion [III.11].

It is generally accepted within the university community that an assessment by other scholars working in the same field, or closely related fields, is the best way of determining the quality of scholarly work. This assessment finds expression in

---

<sup>1</sup> All Section and clause references [-] are to the Tenure and Promotion Policy

the acceptance of papers and manuscripts for peer-reviewed publication, in academic awards and the approval of research grants, in invitations to present conference papers and university seminars, in critical reviews of published works, in exhibitions or performances, and in confidential letters of reference [III.12].

A candidate for tenure and promotion to Associate Professor shall have established a promising program of scholarly work at McMaster University and be making the results of this work available for peer review in the public domain. In the majority of disciplines this will mean that there should be evidence of successful peer-reviewed publication and strong promise of more to come [III.20].

The timing of consideration for tenure and/or promotion at McMaster depends, to some extent, on the calibre of the candidate. In normal circumstances, for a person initially appointed to this University as a full-time Assistant Professor, consideration for tenure and promotion shall take place in the fifth year of the tenure-track appointment. [III 28a.i] Outstanding candidates may be considered for tenure and promotion to Associate Professor in their fourth year. [28d.i] Similarly, candidates who have had relevant experience at another university or institution may be considered before the fifth year, but not before the second year at McMaster. [28.d.ii]

For promotion to the rank of Professor a tenured faculty member shall have achieved a high degree of intellectual maturity. He or she shall have a good record as a teacher and shall be known widely on the basis of high-quality scholarship which has been evaluated by established scholars in the appropriate fields and has been published. The high-quality teaching and scholarship must both have been sustained over a period of years [III.23]. Except in exceptional circumstances, for promotion to the rank of Professor, a tenure-stream faculty member normally shall have spent at least six years in the Associate Professor rank. [III 33, 34]

While you are asked to include in your report brief answers to each of the questions listed below, please feel free to make any other comments which you believe may assist the University in arriving at a decision.

- a. Were you aware of the candidate's publications before now? Had you read any of them?
- b. What would you say is the general quality of the candidate's work?
- c. To what degree is the candidate's work original and creative? How significant is it as a scholarly contribution in his or her special area and in the subject more generally?



- d. Apart from scholarly work, do you know of any contribution the candidate made to the development of his or her subject in Canada or elsewhere, e.g., through activities in learned societies, organizing conferences, governmental commissions and so forth? In your opinion how significant have these activities been?
- e. Is the candidate's scholarship of a sufficient quality to be acceptable for tenure or promotion based on the criteria detailed above? Please explain the basis of your assessment of his or her scholarship. We recognize that scholarship/research is not the only criterion for tenure and/or promotion, but expect that it is the only one about which you have information.

Your letter will be regarded as confidential and will be made available only to the Department and Faculty Committees on Tenure and Promotion and to the Senate Committee on Appointments. However, a faculty member who is unsuccessful in this process will be provided with unattributed copies of the originals of any external letters of reference either by the Department Chair or the Chair of the Senate Committee on Appointments. Preparing an "unattributed copy" means removing the letterhead and the author's name; it also entails an obligation, on the part of the appropriate Chair, to go through the text and remove references which would directly or indirectly reveal the name of the writer.

Complete Policy Title:  
**Policy for Referees – Teaching-Stream  
Faculty**

Policy Number (if applicable):  
**SPS B8**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

McMaster University's *Policy and Regulations with respect to Academic Appointment, Tenure and Promotion* (Tenure and Promotion Policy)<sup>1</sup> states, “For a person appointed to a teaching-track position, promotion and permanence are not linked. Promotion may also happen, but is not expected to occur at the same time” [III 24] Members of the teaching-stream faculty who are being considered for promotion may, therefore, already have achieved permanence through an internal assessment process in their fifth or sixth year. Although external letters of reference are **not** required for permanence, if promotion to Associate Professor is being considered at the same time, at least two letters of reference on the promotion issue are required, as outlined below.

Promotion of an individual in a teaching-track position to Associate Professor must either accompany or follow a recommendation for permanence and requires “at least two referees external to the Department or Program in which the candidate is employed, at least one of whom must be external to the University.”[III 26]

For promotion to Professor for a teaching-stream individual ‘Supporting letters from at least three referees external to the University are required.’[III 27]

In all instances, since care must be taken to ensure that the referees are at arm's length from the candidate, **if you have any connection with the candidate, please indicate the nature of the connection.**

The Tenure and Promotion Policy also contains the following comments about a candidate's contributions.

---

<sup>1</sup> All Section and clause references [-] are to the Tenure and Promotion Policy

“For promotion to Associate Professor of a teaching-stream candidate, the criteria include not only excellent teaching and satisfactory performance of University duties ... but also evidence of recognition external to the Department for the candidate’s contributions. These contributions can take the form of curriculum development and/or evaluation (beyond the individual course), presentations and scholarship on teaching or pedagogy, mentoring, or research into the efficacy of different pedagogical approaches. “[III 26]

“Promotion to Professor for a teaching-stream individual would be possible, although it is not expected to be the norm. Promotion to Professor requires evidence of a national or international teaching reputation, such as significant external teaching awards, peer-reviewed scholarship on teaching, and delivery of conference papers on pedagogy.” [III 27]

While you are asked to include in your report brief answers to each of the questions listed below, please feel free to make any other comments which you believe may assist the University in arriving at a decision.

- a. Were you aware of the candidate’s pedagogical reputation before now?
- b. What would you say is the general quality of the candidate's work?
- c. To what degree is the candidate's work original and creative? How significant is it as a pedagogical contribution in his or her special area and in the subject more generally?
- d. Do you know of any contribution the candidate made to the development of teaching in Canada or elsewhere, e.g., through activities in learned societies, organizing conferences, governmental commissions and so forth? In your opinion how significant have these activities been?
- e. Is the candidate's work of a sufficient quality to be acceptable for promotion in the context of the criteria detailed above? Please elaborate.

Your letter will be regarded as confidential and will be made available only to the Department and Faculty Committees on Tenure and Promotion and to the Senate Committee on Appointments. However, a faculty member who is unsuccessful in this process will be provided with unattributed copies of the originals of any external letters of reference either by the Department Chair or the Chair of the Senate Committee on Appointments. Preparing an "unattributed copy" means removing the letterhead and the author's name; it also entails an obligation, on the part of the appropriate Chair, to go through the text and remove references which would directly or indirectly reveal the name of the writer.

Complete Policy Title:  
**Policy for Referees – Clinician Educator  
Faculty**

Policy Number (if applicable):  
**SPS B9**

Approved by:  
**Senate**

Date of Most Recent Approval:  
**December 14, 2011**

Date of Original Approval(s):  
**February 23, 2004**

Supersedes/Amends Policy dated:  
**February 23, 2004**

Responsible Executive:  
**Dean and Vice-President (Faculty of  
Health Sciences)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

Within the Faculty of Health Sciences there are faculty members with significant clinical responsibilities, many of whom will be reviewed as Clinician Educators. These faculty members are recognized under Appendix A of the McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion<sup>1</sup> which states:

*A necessary but not sufficient condition for the awarding of tenure and/or promotion in the Faculty of Health Sciences is effective participation in, and contribution to, the education program(s) of the Faculty and the candidate's teaching ability shall be assessed in the appropriate context(s). In the majority of cases, it shall be expected also, as is spelled out in the main body of this document, that the candidate has demonstrated a commitment to high-quality scholarship and is making the results of this work available in the public domain for peer review. There will be many cases where scholarship will be judged by effective performance of academically oriented clinical activities. These scholarly activities will serve as the second major criterion for the awarding of CAWAR, tenure and/or promotion. These cases shall be identified clearly in the submissions to the various committees through their designation as Clinician Educators.*

---

<sup>1</sup> All Section and clause references [-] are to the Tenure and Promotion Policy

It is generally accepted that an assessment by other clinician educators working in the same or closely related specialty area, is often the best way of determining the quality of clinical scholarly work. **If you have any connection with the candidate, please indicate the nature of the connection, and explain how your participation does not constitute a conflict of interest.**

The candidate must demonstrate a commitment to excellence in clinical service, which is relevant and contributes to the academic mission of the Faculty of Health Sciences and the University. Excellence in clinical service will be evaluated on the basis of criteria, which reflect scholarly clinical work (not all criteria will be met by all candidates). These activities are listed in SPS B3 Clinical Activities Portfolio.

A Clinician Educator candidate for CAWAR/tenure and promotion to Associate Professor shall have a good record as a teacher. The candidate will have a local reputation related to their clinical expertise and may have participated in dissemination of their scholarly work.

The timing of consideration for CAWAR/tenure and/or promotion at McMaster depends, to some extent, on the calibre of the candidate. In normal circumstances, for a person initially appointed to this University as a full-time Assistant Professor, consideration for CAWAR/tenure and promotion shall take place in the fifth year of the tenure-track or special appointment [III 28a.i]. Outstanding candidates may be considered for CAWAR/tenure and promotion to Associate Professor in their fourth year [28d.i]. Similarly, candidates who have had relevant experience at another university or institution may be considered before the fifth year, but not before the second year at McMaster [28.d.ii].

For promotion to the rank of Professor a tenured faculty member will possess a high degree of intellectual maturity evidenced by the depth and scope of scholarly activities. This activity will be sustained over a period of years and establishes their clinical expertise and reputation as a leader in their specialty area. [III 23] They should be known for their clinical expertise and must have participated in dissemination of their scholarly work. Barring exceptional circumstances, for promotion to the rank of Professor, a tenured or CAWAR faculty member normally shall have spent at least six years in the Associate Professor rank [III 33, 34].

You are asked to include brief answers to each of the questions listed below. Please feel free to make any other comments related to the Candidate's Clinical Scholarly Activities which you believe may assist the University in arriving at a decision.

- a) Based on the activities listed in SPS B3, do you feel that the candidate has demonstrated a commitment to excellence in clinical service and contributes to the academic mission of the Faculty?
- b) What would you say is the general quality of the candidate's work?

- c) To what degree is the candidate's work original and creative? How significant is it as a contribution in his or her specialty area and more generally?
- d) Do you know of any contribution the candidate made to the development of his/her field in Canada or elsewhere, e.g., through activities in learned societies, organizing conferences, governmental commissions and so forth? In your opinion how significant have these activities been?
- e) Is the candidate's work of a sufficient quality to be acceptable for CAWAR, tenure, permanence and/or promotion in the context of the criteria detailed above? Please elaborate

Your letter will be regarded as confidential and will be made available only to the Department and Faculty Committees on Tenure and Promotion and to the Senate Committee on Appointments. However, a faculty member who is reviewed as a Clinician Educator and who is unsuccessful in this process will be provided with unattributed copies of the originals of any internal or external letters of reference either by the Department Chair or the Chair of the Senate Committee on Appointments. Preparing an "unattributed copy" means removing the letterhead and the author's name; it also entails an obligation, on the part of the appropriate Chair, to go through the text and remove references which would directly or indirectly reveal the name of the writer.

Complete Policy Title:

**Material Required by Senate  
Committee on Appointments on  
Recommendations for Re-Appointment,  
Tenure, Permanence  
and/or Promotion**

Policy Number (if applicable):

**SPS B10**

Approved by:

**Senate  
Board of Governors**

Date of Most Recent Approval:

**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

**October, 1992**

Supersedes/Amends Policy dated:

**March 11, 2009 (SPS 14)**

Responsible Executive:

**Provost and Vice-President (Academic)**

Enquiries:

[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

The material submitted by Deans of Faculties to the Senate Committee on Appointments must include the following:

1. Name of candidate.
2. Recommendation (i.e., tenure, permanence, re-appointment, no action, promotion) and effective date.
3. Degrees with dates.
4. Previous appointments with full dates (day, month, year) including present position at McMaster.
5. A statement outlining the Faculty or joint-Faculty Tenure and Promotion Committee position. This statement must include:
  - i. a description of the reasons for the Committee's recommendation;
  - ii. a summary of the evidence considered; and
  - iii. the Committee's vote.
6. The departmental submission to the Faculty or joint-Faculty Committee, which must include the Departmental Committee vote on each case, and the dossier detailed in SPS B12.

If, in the vote on any case, there are more than two non-positive votes (i.e., negative votes or true abstentions) **or** if the Faculty Committee is recommending that the candidate's tenure-track or teaching-track appointment be allowed to lapse, all other supporting documentation, if any, must be submitted to the Senate Committee on Appointments.

The material under headings 1-4 will be the material that will be submitted to Senate by the Appointments Committee.

Complete Policy Title:  
**Curriculum Vitae Requirements**

Policy Number (if applicable):  
**SPS B11**

Approved by:  
**Senate**  
**Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011**  
**December 15, 2011**

Date of Original Approval(s):  
**May, 1982**

Supersedes/Amends Policy dated:  
**May, 1982 (SPS 15A)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

Faculty members being considered for re-appointment, tenure, permanence, promotion or as a candidate for an academic or administrative office at McMaster University should have an up-to-date curriculum vitae prepared for consideration. It is the faculty member's own responsibility to prepare and keep the curriculum vitae up-to-date and it is the responsibility of the Department Chair to ensure that it is accurate for cases of re-appointment, tenure, permanence, and promotion.

*Curricula vitae* must follow the exact format, in the sequence presented, including the sequence within every category. Any category that is not applicable should be identified as such.

1. Name in full, with common designate underlined
2. Business address (including postcode) and telephone number(s) (including area code)
3. Educational Background (since high school)
  - degrees, fellowships, diplomas, certificates including designation (BSc, PhD, FRCP(C), etc.); institution, department and location, year received
4. Current Status at McMaster
  - rank and title, joint appointments, associate memberships
  - status (tenured, continuing appointment without annual review, permanent, contract etc.)





11. Contributions to Teaching Practice

- a. pedagogic innovation and/or development of technology-enhanced learning
- b. leadership in delivery of educational programs
- c. course/curriculum development
- d. development/evaluation of educational materials and programs
- e. other

12. Supervisorships (include department [program] numbers completed, in progress, inactive and dates)

- a. master
- b. doctoral
- c. post-doctoral/fellowship
- d. clinical/professional
- e. supervisory committees
- f. other

13. Lifetime Research Funding

The names of all the individual(s) to whom the grant is awarded should be listed and the principal investigator's name must be underlined.

- o include type, source agency, amount, purpose, title

14. Lifetime Publications

The sequence of authors must be the exact replica of the sequence in which the manuscript was published.

a. *Peer Reviewed*

- i) books
- ii) contributions to books
- iii) journal articles
- iv) journal abstracts
- v) other, including Proceedings of Meetings

b. *Not Peer Reviewed*

- i) books
- ii) contributions to books
- iii) journal articles
- iv) journal abstracts
- v) other, including Proceedings of Meetings

- c. *Accepted for Publication* (in final form)
- d. *Submitted for Publication*
- e. *Unpublished Documents*

i) technical report series    ii)    other

15. Presentations at Meetings

For presentations attributable to multiple authors, the sequence of authors must replicate that in which the abstract was accepted, with the name(s) of the presenter(s) underlined.

a. *Invited*

b. *Contributed*

i) peer reviewed                  ii) not peer reviewed

16. Patents, Inventions and Copyrights

17. Administrative Responsibilities (include name, role: member or chair, starting and [if appropriate] ending date)

18. Other Responsibilities

Complete Policy Title:  
**Preparation of Dossiers for Re-Appointment, Tenure/Permanence and/or Promotion**

Policy Number (if applicable):  
**SPS B12**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**May 24, 1995**

Supersedes/Amends Policy dated:  
**April 8, 2009 (SPS 15B)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

It is the Department Chair's responsibility to inform faculty on tenure-stream, and teaching-stream appointments of the performance normally expected of successful candidates for tenure, permanence and promotion. The Chair must ensure that a dossier, for consideration by Departmental,<sup>1</sup> Faculty and Senate committees, is prepared properly and in a timely fashion (see McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion, [Tenure and Promotion Policy] Section II, clauses 7 and 14; Section III, clauses 28 to 35, clause 43[a] and clause 63).

It is the faculty member's own responsibility to prepare and keep the curriculum vitae up-to-date (see SPS B11) and it is the responsibility of the Department Chair to ensure that it is accurate for cases of re-appointment, tenure, permanence, and promotion.

---

<sup>1</sup> For a faculty member holding joint appointment in two or more departments, or a person participating in a Program administered by a Program Director, clause 39 (a) Section III of the, Tenure and Promotion Policy should be consulted for instruction on apportionment of responsibility for carrying out the academic assessment.

## Dossier: Contents

Because Faculty Tenure and Promotion Committees consider cases across all departments in the Faculty, and the Senate Committee on Appointments across all Faculties, standardization of the sections of each dossier is extremely useful to the Committee.

Faculty and Senate Committees must act equitably. One way the Committees ensure this is by considering the same categories of information about each candidate. Having identical sections in each dossier is the mechanism that achieves this end. Each Faculty Committee can demonstrate that it sought the same categories of information, and it can request an explanation from a department if the department chooses not to enter information in a category.

- (a) The first page of every dossier should consist of a "table of contents" (see sample below). The table needs to enumerate the material in the dossier. Each item represents a "section" of the dossier. The dossier should have 8 sections following the 'table of contents'. There should be one paper-based copy of each file provided to the Senate Committee on Appointments.

**TENURE, PERMANENCE AND/OR PROMOTION DOSSIER: Dr. E. Z. Rider**  
**Table of Contents**

1. Written Recommendation of the Departmental Tenure and Promotion Committee  
- based on an examination of the following elements of the dossier:
2. Curriculum Vitae
3. Candidate's Statement
4. Departmental Teaching Evaluation Report
5. Candidate's Response to Departmental Teaching Evaluation Report
6. List and Biographical Sketch of Potential Referees
7. Referee Letters
8. Sample Copy of Chair's or Dean's Letter Sent to Referees, and the  
Relevant Policy for Referees

I indicate by my signature that this index describes precisely the contents of the dossier of Dr. E. Z. Rider, and that this dossier is complete and ready for consideration by the appropriate committees.

\_\_\_\_\_  
Department Chair (signature)

\_\_\_\_\_  
Date

- (b) By signing the Table of Contents, the Department Chair acknowledges that all the material required for assessment of the case has been included for the evaluating committees. The "table of contents" page, with signature added, therefore also constitutes a "checklist" of material in the dossier.

## **1. Written Recommendation of the Departmental Tenure and Promotion Committee**

This section contains the recommendation of the Departmental Tenure and Promotion Committee. It is written by the Chair of the Committee, who is normally the Department Chair.

The reasons for the recommendation are articulated in this section, and must cover (as appropriate) undergraduate and graduate teaching, research and university/community/professional service (see Tenure and Promotion Policy, Section III). Health Sciences departments may include among their reasons; evidence of effective performance in academically oriented clinical activities and/or special administrative duties in the health care delivery system as the second major criterion (other than teaching) for the awarding of tenure and/or promotion (Appendix A, clause 2 of Tenure and Promotion Policy)

## **2. Curriculum Vitae**

Standard McMaster Curriculum Vitae, as detailed in SPS B11.

## **3. Candidate's Statement on Research and/or Clinical Activities**

- a) Tenure-Stream and Special-Stream: The candidate should provide a statement, approximately two pages long, about his/her research and/or Clinical Activities. This is the same statement that is sent to Referees (see SPS B5 and SPS B6).
- b) Teaching-Stream: In the case of promotion assessments, the candidate should provide a statement, approximately two pages long, about his/her pedagogical research/scholarship. This is the same statement that is sent to Referees (see SPS B5).

#### **4. Departmental Teaching Evaluation Report**

This report, prepared by the Department Chair or delegate, would include elements of SPS B1, SPS B2 or SPS B3 and may include other material that the Department considers relevant to the assessment of teaching.

#### **5. Candidate's Response to Departmental Teaching Evaluation Report**

This is the response submitted by the candidate for placement in the dossier after he or she has seen the Departmental Teaching Evaluation Report.

#### **6. List and Biographical Sketch of Potential Referees**

- (a) This is the list of possible referees from among whom the actual referees were chosen, in accordance with SPS B5 or SPS B6.
- (b) A paragraph following each name should provide the brief biographical sketch that justifies the Senate requirement that the potential referees be known for their work in fields relevant for the candidate (Section III, clause 14, Tenure and Promotion Policy).

The information that should be provided in a biographical sketch of referees is set out below.

- (i) name;
- (ii) rank and position;
- (iii) institution or company and current address, telephone and fax numbers, and electronic mail address;
- (iv) degree(s) held including the granting institution(s) and the date(s) earned, if readily available;
- (v) areas of specialization;
- (vi) professional activities in the field such as editor of a journal, member of granting agency etc.;
- (vii) evidence of recent/major scholarly activity;
- (viii) details of any previous affiliation with the University and the candidate.

#### **7. Referee Letters**

All letters received from referees who were solicited in accordance with SPS B5 or SPS B6 must be included in the dossier (Section III, clause 16, Tenure and Promotion Policy).

- (a) For tenure and/or promotion of tenure-stream faculty (excluding Clinician Educators), the dossier must include letters from at least three referees external to the University (Section III, clause 16).
- (b) For tenure/CAWAR of tenure or special-stream faculty identified as Clinician Educators, the dossier must include letters from at least three referees who may be internal to the University (SPS B6)
- (c) For promotion of Clinician Educator faculty to Professor, the dossier must include letters from at least three referees external to the University (SPS B6)
- (d) For promotion of teaching-stream faculty to Associate Professor, the dossier must include letters from at least two referees and at least one of these must be external to the University (Section III, clause 26).
- (e) For promotion of teaching-stream faculty to Professor, the dossier must include letters from at least three referees external to the University (Section III, clause 27).

In addition to the referees stipulated above, other letters may be obtained from referees internal to the university (Section III, clause 15). All such letters must be solicited in accordance with SPS B5 or B6. Information about these internal referees should be included in Section 7.

#### **8. Sample Copy of the Chair's or Dean's Letter Sent to Referees, and the Policy for Referees**

A copy of the Chair's letter and the relevant Policy for Referees (SPS B7, SPS B8 or SPS B9) is placed in the dossier.



Complete Policy Title:  
**Research Leave Policy – Tenured and  
CAWAR Faculty**

Policy Number (if applicable):  
**SPS C1**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**October 13, 1993  
December 9, 1993**

Supersedes/Amends Policy dated:  
**April 13, 2005 (SPS 16)  
April 28, 2005**

Responsible Executive:  
**University Secretariat**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I Intent**

The University's system of Research Leaves is designed to contribute to the professional resources and effectiveness of faculty members, and to the value of their subsequent service to the University community. Research Leave provides time for carrying out a more extensive program of research than can be achieved when research must be carried out in conjunction with teaching and University service. The system of Research Leaves is one of the most effective ways in which the University encourages and supports research and scholarship. Research Leave is intended for academic research, writing, and other forms of professional development. It provides for a period free of teaching duties and other obligations, except that faculty members on Research Leave are expected to make appropriate arrangements for their graduate students, and to comment on thesis chapters, in accordance with policies approved by Senate or by Graduate Council.

## **II Eligibility**

After the first six years of full-time service at McMaster University, a full-time tenured faculty member) may seek approval for either a 6-month or a 12-month Research Leave. Continuing Appointments without Annual Review (CAWAR) are similar in all respects to tenured appointments except for funding arrangements. Because funding arrangements for CAWAR appointments may vary considerably, individuals in this

category should contact their Department Chair with any questions related to their eligibility for payment during their approved leave. For faculty initially appointed at the rank of Assistant Professor who are applying for their first leave, 100% of salary will be maintained during the leave, whether the leave is 6 or 12 months' duration. Those initially appointed at other ranks will also be eligible for 100% salary if they can document that their first research leave at McMaster would be the first in their academic career.

Upon completion of the first and any subsequent leave, there are three options from which the faculty member may choose, varying in length of leave and amount of salary received during the leave. After six additional years of full-time service at McMaster University, a full-time tenured faculty member may seek approval for:

1. a 12-month leave at 90% salary. Under this option, leave will usually begin on 1 July.
2. a 6-month leave at full salary. Such a leave may begin on either 1 July or 1 January.

As an alternative to waiting until the completion of a further six years of service, after three additional years of full-time service at McMaster University a full-time tenured faculty member may apply for:

3. a 6-month leave at 90% of salary.

A faculty member choosing option (3) will be eligible for a six-month leave at 90% of salary twice in a seven-year period. The first such leave may be taken in either half of the fourth year (i.e. 1 July to 31 December, or 1 January to 30 June); the second leave may be taken in either half of the seventh academic year.

Part of the salary may be taken as a Research Leave Grant. For more information on this option, see [McMaster University Research Grants Program Application Guidelines and Conditions of Award](#), or contact the Provost's Office.

### **III Principles Governing Research Leave**

1. Research Leave is granted only when three conditions are met. First, the number of years of service as described above must be completed prior to the leave. Second, the applicant must have submitted a satisfactory plan describing the research objectives and the way they will be achieved during the leave. Third, the applicant must normally have a satisfactory record of scholarly achievement since the beginning of the previous research leave (or the beginning of employment at McMaster, in the case of a first leave). When these three conditions are met, leaves shall not be unreasonably denied. Evaluation of scholarly achievement shall take into consideration exceptional cases in which such achievement may have been compromised because the applicant has

spent time since the last leave in extensive service to the University or the profession.

2. It is the first intention of the University to support in every way possible the leave policy in this document. To this end, faculty members, Department Chairs, and Faculty Deans are expected to work together to ensure that the instructional needs of the department can be met. On the basis of this consultation, the Chair and Dean may agree upon an alternate timing for a proposed leave of a faculty member. Final approval of the leave will still be based on the application as described below. The University reserves the right to limit the number of leaves granted in any one department in any one year in order to ensure that instructional needs can be met.
3. It is not normally the policy to allow banking of research leaves. Faculty members who are asked by the University to take leave a year earlier or later than normal in order to assist the department will be eligible for subsequent leave as if this leave had been taken at the normal time.
4. Faculty members who for their own reasons wish to postpone taking a leave when they become eligible for one must discuss and document with their chair and Dean the consequences of the deferral. If a faculty member defers a leave, the additional years before the leave is taken are not counted in the eligibility period for any subsequent leave.
5. Faculty members on Research Leave shall be entitled to salary increases (ATB and CP/M) and consideration for promotion as are all other faculty members. Leave recipients will not be penalized in promotion deliberations for the absence of teaching or University service activities during the leave period. ATB increases will be based on the faculty member's full salary, not on a reduced salary received during the leave.

CP/M is based on performance in three categories over a calendar year, two of which cannot be measured during a leave.

i) For a 12-month leave over a calendar year, the faculty member will be assigned the average of his/her last three CP/M par increments for the period of the leave.

ii) For a 12-month leave over an academic year and for a 6-month leave, two equally-weighted CP/M scores will be generated; the first will be based on the model outlined above and the second will be calculated by the Chair in the normal manner for the non-leave six months. These two scores will then be averaged.

6. For purposes of pension contributions, insurance, and medical and disability benefits, a faculty member on Research Leave will be regarded as a full-time

member of the academic staff on regular salary. The University and the faculty member will continue to contribute their normal shares of the costs involved.

7. A faculty member's pregnancy or parental leave may overlap the period of an approved Research Leave. The usual practice is that the unused portion of the Research Leave is taken immediately following the end of the pregnancy or parental leave. Any departure from this practice requires the approval of the Research Leaves Committee.

#### **IV Procedures**

1. Written application for Research Leave is to be made by the faculty member to the Faculty Dean no later than 31 October of the academic year preceding the leave. The application is to include a description of the planned program of research activity and the way in which it will enhance the applicant's subsequent scholarly contribution to the University, and of the arrangements that have been made for continued supervision of any graduate students while the faculty member is absent from campus. Should the resources of another institution be essential to the planned activity, documentation indicating the support of that institution is needed before final approval can be given.
2. The Dean will ask for comment on the proposal from the chair of the faculty member's department. All applications for Research Leave, whether supported by the Department Chair or not, shall be submitted by the Dean to the Research Leaves Committee. Research Leave is granted by the Research Leaves Committee, which consists of the Provost, the Faculty Dean and the Dean of Graduate Studies. If all supporting documents are included with the application, a decision on the request will be given by 31 January. If supporting documents are still needed, a response in principle will be given by that date, to be confirmed after the necessary documents have been received by the Provost through the Faculty Dean. Approved leaves will be reported to the Senate for information.
3. The salary to which a faculty member is entitled while on leave may be paid in part as a research grant, in accordance with the requirements of Revenue Canada and the University's policy for awarding such research grants.
4. A faculty member on Research Leave may accept fellowships, honorary visiting professorships, or the like, provided that the duties associated with these do not detract from the research plan described in the application for leave.
5. The University's Consulting Policy applies during Research Leave. Specifically, a faculty member on Research Leave is permitted to engage in consulting activities comparable in extent to those permitted during non-leave periods. The University insists only that the time expended on consulting activities should not interfere with the time that Research Leave makes available for research. Also the faculty member must report to the Faculty Dean any consulting or teaching

carried out during the leave. In addition to the requirements of the Consulting Policy, which calls only for reporting the time spent, in consideration of the salary being paid by the University during the leave, any additional employment income received during the leave must also be reported to the Faculty Dean. The report should provide sufficient detail about the additional employment to show that it is consistent with the application for leave. If total employment income does not exceed 115% of regular salary, the report may be submitted on completion of the leave. Anticipated employment income in excess of 115% of regular salary must be approved by the Dean before taking up the employment.

6. Within four months of completion of the leave, the faculty member is required to submit a written report to the Dean of the Faculty on the accomplishments during the research leave. The report allows for proper evaluation of the faculty member's accomplishments while on leave, and becomes part of the material considered for CP/M assessments. The Dean will ask the Department Chair to assess the report, and to take it into account in making a merit pay recommendation; both the assessment and the report will be made available to the members of the Research Leaves Committee.

## **V Special Leaves and Leaves of Absence**

1. In exceptional cases Special Leave may be approved on the normal financial terms for a Research Leave although the faculty member may have served fewer than the required number of years of full-time service. Such leave may be granted by the Research Leaves Committee in consultation with the Department Chair. It is understood that only a small number of such leaves, if any, will be approved in any one year. Normally, a Special Leave shall be counted as a Research Leave for purposes of determining the time of eligibility for the next Research Leave.
2. Leave of absence without salary may be granted in special circumstances by the University to any member of the faculty. Any such leave taken primarily for the purpose of research shall conform to the principles and procedures of this document. A faculty member on a Leave of Absence without salary is normally required to continue paying for fringe benefits. It would be expected, however, that the University's share would be absorbed by any outside employer. This matter should be discussed with the Faculty Dean and the Provost.

A decision to stop the clock for promotion consideration must be confirmed in writing via a letter from the President, and signed back by the faculty member.

---

Complete Policy Title:  
**Research Leave Policy – Permanent  
Faculty**

Policy Number (if applicable):  
**SPS C2**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:

Responsible Executive:  
**University Secretariat**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I Intent**

The University's system of Research Leaves is designed to contribute to the professional resources and effectiveness of faculty members, and to the value of their subsequent service to the University community. Research Leave provides time for permanent teaching faculty to pursue pedagogical research/scholarship and professional development that will result in more effective teaching at McMaster University. Research Leave would allow permanent teaching faculty who are conducting pedagogical research in parallel with their teaching to have time to prepare the results for peer-reviewed publication, or would provide an opportunity for permanent faculty to visit another institution to learn and participate in a different environment, one whose best features could then be introduced at McMaster. The system of Research Leaves is one of the most effective ways in which the University encourages and supports research and scholarship. It provides for a period free of teaching duties and other obligations, except that faculty members on Research Leave are expected to make appropriate arrangements for their graduate students, and to comment on thesis chapters, in accordance with policies approved by Senate or by Graduate Council.

## **II Eligibility**

After the first six years of full-time service at McMaster University, a full-time teaching-stream faculty member who has attained permanence is entitled to apply for a four-

month one-term (Fall, Winter or Spring/Summer) Leave. During their first Leave, 100% of salary will be maintained.

Upon completion of the first and any subsequent Leave and after six additional years of full-time service at McMaster University, a full-time faculty member with permanence is entitled to apply for another one-term Leave at 90% salary.

Part of the salary may be taken as a Research Leave Grant. For more information on this option, see McMaster University Research Grants Program Application Guidelines and Conditions of Award, or contact the Provost's Office.

### III Principles Governing Research Leave

1. Research Leave is granted only when the following conditions are met:

For all Leaves -

The number of years of service as described above must be completed prior to the leave;

The applicant must have submitted a satisfactory plan describing the research objectives and the way they will be achieved during the leave.

For Leaves Subsequent to the first –

The applicant must normally have a satisfactory record of scholarly achievement since the beginning of the previous research leave.

When these conditions are met, leaves shall not be unreasonably denied. Evaluation of scholarly achievement shall take into consideration exceptional cases in which such achievement may have been compromised because the applicant has spent time since the last leave in extensive service to the University or the profession.

2. It is the first intention of the University to support in every way possible the leave policy in this document. To this end, faculty members, Department Chairs, and Faculty Deans are expected to work together to ensure that the instructional needs of the department can be met. **The teaching load for teaching stream faculty will be reduced in accordance with the length of the Leave.** On the basis of this consultation, the Chair and Dean may agree upon an alternate timing for a proposed leave of a faculty member. Final approval of the leave will still be based on the application as described below. The University reserves the right to limit the number of leaves granted in any one department in any one year in order to ensure that instructional needs can be met.

3. It is not normally the policy to allow banking of research leaves. Faculty members who are asked by the University to take leave a year earlier or later than normal in order to assist the department will be eligible for subsequent leave as if this leave had been taken at the normal time.
4. Faculty members who for their own reasons wish to postpone taking a leave when they become eligible for one must discuss and document with their chair and Dean the consequences of the deferral. If a faculty member defers a leave, the additional years before the leave is taken are not counted in the eligibility period for any subsequent leave.
5. Faculty members on Research Leave shall be entitled to salary increases (ATB and CP/M) and consideration for promotion as are all other faculty members. Leave recipients will not be penalized in promotion deliberations for the absence of teaching or University service activities during the leave period. ATB increases will be based on the faculty member's full salary, not on a reduced salary received during the leave.

For permanent faculty, CP/M is based (wholly and partially) on performance in two categories (teaching and service) over a calendar year which cannot be measured during a leave. Two CP/M scores will be generated. One score will be the average of the faculty member's last three CP/M par increments. The other score will be calculated by the Chair in the normal manner for the non-leave eight months. The final merit increment will be the weighted average of these two scores - **1/3 for the average of CP/M over the past 3 years and 2/3 for the 8 non-leave months.**

6. For purposes of pension contributions, insurance, and medical and disability benefits, a faculty member on Research Leave will be regarded as a full-time member of the academic staff on regular salary. The University and the faculty member will continue to contribute their normal shares of the costs involved.
7. A faculty member's pregnancy or parental leave may overlap the period of an approved Research Leave. The usual practice is that the unused portion of the Research Leave is taken immediately following the end of the pregnancy or parental leave. Any departure from this practice requires the approval of the Research Leaves Committee.

#### **IV Procedures**

1. Written application for Research Leave is to be made by the faculty member to the Faculty Dean no later than 31 October of the academic year preceding the leave. The application is to include a description of the planned program of research activity and the way in which it will enhance the applicant's subsequent scholarly contribution to the University, and of the arrangements that have been made for continued supervision of any graduate students while the faculty



member is absent from campus. Should the resources of another institution be essential to the planned activity, documentation indicating the support of that institution is needed before final approval can be given.

2. The Dean will ask for comment on the proposal from the chair of the faculty member's department. All applications for Research Leave, whether supported by the Department Chair or not, shall be submitted by the Dean to the Research Leaves Committee. Research Leave is granted by the Research Leaves Committee, which consists of the Provost, the Faculty Dean and the Dean of Graduate Studies. If all supporting documents are included with the application, a decision on the request will be given by 31 January. If supporting documents are still needed, a response in principle will be given by that date, to be confirmed after the necessary documents have been received by the Provost through the Faculty Dean. Approved leaves will be reported to the Senate for information.
3. The salary to which a faculty member is entitled while on leave may be paid in part as a research grant, in accordance with the requirements of Revenue Canada and the University's policy for awarding such research grants.
4. A faculty member on Research Leave may accept fellowships, honorary visiting professorships, or the like, provided that the duties associated with these do not detract from the research plan described in the application for leave.
5. The University's Consulting Policy applies during Research Leave. Specifically, a faculty member on Research Leave is permitted to engage in consulting activities comparable in extent to those permitted during non-leave periods. The University insists only that the time expended on consulting activities should not interfere with the time that Research Leave makes available for research. Also the faculty member must report to the Faculty Dean any consulting or teaching carried out during the leave. In addition to the requirements of the Consulting Policy, which calls only for reporting the time spent, in consideration of the salary being paid by the University during the leave, any additional employment income received during the leave must also be reported to the Faculty Dean. The report should provide sufficient detail about the additional employment to show that it is consistent with the application for leave. If total employment income does not exceed 115% of regular salary, the report may be submitted on completion of the leave. Anticipated employment income in excess of 115% of regular salary must be approved by the Dean before taking up the employment.
6. Within four months of completion of the leave, the faculty member is required to submit a written report to the Dean of the Faculty on the accomplishments during the research leave. The report allows for proper evaluation of the faculty member's accomplishments while on leave, and becomes part of the material considered for CP/M assessments. The Dean will ask the Department Chair to assess the report, and to take it into account in making a merit pay

recommendation; both the assessment and the report will be made available to the members of the Research Leaves Committee.

## **V Special Leaves and Leaves of Absence**

1. In exceptional cases Special Leave may be approved on the normal financial terms for a Research Leave although the faculty member may have served fewer than the required number of years of full-time service. Such leave may be granted by the Research Leaves Committee in consultation with the Department Chair. It is understood that only a small number of such leaves, if any, will be approved in any one year. Normally, a Special Leave shall be counted as a Research Leave for purposes of determining the time of eligibility for the next Research Leave.
2. Leave of absence without salary may be granted in special circumstances by the University to any member of the faculty. Any such leave taken primarily for the purpose of research shall conform to the principles and procedures of this document. A faculty member on a Leave of Absence without salary is normally required to continue paying for fringe benefits. It would be expected, however, that the University's share would be absorbed by any outside employer. This matter should be discussed with the Faculty Dean and the Provost.

A decision to stop the clock for promotion consideration must be confirmed in writing via a letter from the President, and signed back by the faculty member.

---

Complete Policy Title:  
**Unpaid Leaves of Absence**

Policy Number (if applicable):  
**SPS C3**

Approved by:  
**Senate**  
**Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011**  
**December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**June 11, 1986 (SPS 18)**

Responsible Executive:  
**University Secretariat**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I. Unpaid Leaves of Absence Taken During a Tenure-Track or Teaching-Track Appointment**

A faculty member may request a leave of absence for either research or other endeavours, which will not involve salary support. Normally only one such leave will be granted during the appraisal period, and such a leave of absence will not be granted for more than two consecutive academic years. Should a faculty member on a tenure-track or teaching-track appointment be granted a leave of absence, it will be decided at the time of granting such leave whether or not the time spent will count as part of the appraisal period for tenure or permanence and as part of the years-in-rank for promotion. The decision will be made by the Research Leaves Committee (the Provost, the Dean of Graduate Studies and the Dean of the Faculty) on recommendation from the Chair of the department. The Dean of the Faculty will convey the Committee's decision in writing to the faculty member, with copies to those involved in the decision. A decision to stop the clock for tenure or permanence consideration must be confirmed in writing via a letter from the President, and signed back by the faculty member.

Two principles will be taken into consideration in arriving at the decision:

1. If the faculty member is engaged in research or academic work while on leave of absence, the time spent will normally be counted as part of the appraisal period and of years-in-rank for promotion.

2. The faculty member's preference for counting or not counting the time of leave of absence will be followed for a single leave of up to one academic year.

## **II. Unpaid Leaves of Absence Taken During a Tenured or Permanent Appointment**

When a leave of absence is granted, a decision will be made at the same time as to whether or not the time spent on such leave will be counted as part of the years-in-rank for purposes of promotion. The decision will be made by the Research Leaves Committee (the Provost, the Dean of Graduate Studies and the Dean of the Faculty) on recommendation from the chair of the department. The Dean of the Faculty will convey the Committee's decision in writing to the faculty member, with copies to those involved in the decision. A decision to stop the clock for promotion consideration must be confirmed in writing via a letter from the President, and signed back by the faculty member.

Complete Policy Title:  
**Pregnancy/ Parental Leave  
Policy for Faculty and MUFA  
Librarians<sup>1</sup>**

Policy Number (if applicable):  
**SPS C4**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**December 12, 2002**

Supersedes/Amends Policy dated:  
**December 13, 2006 (SPS 19)  
(Revised – Joint Committee – March 14, 2008)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I Intent**

This policy, which includes pregnancy leave and parental leave, is designed to facilitate reasonably flexible arrangements at the time of birth or adoption of children and is in compliance with current applicable provincial and federal legislation. The policy will enable both parents to combine successfully an academic career and family responsibilities without significant financial and/or career loss. Recognizing the role of both parents in childbirth, adoption and child rearing, the University will provide the following arrangements for parents in a fair and reasonable manner. The Pregnancy/Parental Leave Policy for Faculty and MUFA Librarians shall have precedence over all other policies that may impinge upon its terms.

The financial benefits provided herein are provided within the framework of the applicable federal and provincial legislation, specifically the provincial Employment Standards Act, 2000 (“ESA”) and the federal Employment Insurance Act (“EIA”). In the event that either Government makes a substantive change to those programs, the Administration and MUFA will review this policy.

---

<sup>1</sup> This policy applies to faculty and to those senior academic librarians who are members of the McMaster University Faculty Association (MUFA).

## **II Eligibility and Benefits**

### **II i Definition**

Faculty and MUFA librarians will be eligible for leaves regardless of marital status. Besides the birth parents (as defined in federal legislation and regulations), the Employment Standards Act (ESA) defines a parent as including “a person with whom a child is placed for adoption and a person who is in a relationship of some permanence with the parent of the child and who intends to treat the child as his or her own.” For clarity, this policy is equally applicable to same-sex parents within the definition set out above.

### **II ii Leave**

Full-time and regular part-time McMaster faculty members and MUFA librarians, who have at least thirteen (13) weeks continuous employment at the University prior to the estimated date of delivery or adoption of a child (or children), may request and will be granted a pregnancy and/or parental leave. Only birth mothers are able to take pregnancy leave whereas all parents, as defined above, are eligible for parental leave.

Pregnancy and parental leaves are leaves of absence during which a faculty member or MUFA librarian is relieved of all duties including teaching, graduate supervision, research and service.

### **II iii Financial Benefits**

To qualify for financial benefits from the University, faculty members or MUFA librarians must have thirteen (13) weeks of continuous service prior to the estimated date of delivery or adoption of a child (or children) and be enrolled in the University’s Salary Continuance/LTD program.

Faculty members or MUFA librarians who are already in a period of notice due to their resignation or their removal/dismissal by the University, or due to the University’s decision not to renew or continue their employment, are not eligible for financial and associated benefits from the University for pregnancy and parental leave for any period that would extend beyond the termination date.

There are two options for financial benefits during a pregnancy or parental leave:

### **OPTION A**

Up to 19 weeks as follows:

#### Option A

- \* For the first 2 weeks of leave, the University will pay 100% of regular salary; and
- \* For the 3<sup>rd</sup> and subsequent weeks of leave up to the 19<sup>th</sup> week, inclusive, the University will pay 90% of regular salary less the maximum amount of weekly pay the employee is eligible to receive in accordance with the EIA (the "EIA Max"), regardless of whether or not such amount is actually received by the employee. If an employee provides proof that his or her EIA entitlement is less than the EIA Max, his or her weekly payment from the University will be 90% of regular salary less the amount of his or her EIA entitlement.

### **OPTION B**

Four (4) weeks leave with full salary and benefits, taken within the first 26 weeks after the birth of the child or after the child first comes into the custody, care and control of the parent. There is no requirement to have applied for EIA benefits under this option.

These financial benefit provisions are only available during the first 52 weeks following the birth of the child or, in the case of adoption of a child, after the child first comes into the custody, care and control of the parent.

## **II iv Benefits During a Pregnancy or Parental Leave**

The Pregnancy/Parental Leave Policy for faculty and MUFA librarians does not imply employment rights and/or privileges beyond those outlined above.

Faculty members and MUFA librarians who take a pregnancy or parental leave under these provisions will incur no loss in salary level and are entitled to pension, health disability and other benefits provided the faculty member or MUFA librarian continues to contribute his/her normal share of the cost of these benefits. When there is no income during an unpaid portion of a pregnancy or parental leave, arrangements can be made through Human Resources Services (see "Information", below) for the payment of the individual's normal share of benefit or pension payments or premiums. Vacation and research leave shall continue to accrue during all pregnancy or parental leaves.

## **II v Pregnancy or Parental Leave Combined with another Approved Leave**

If the faculty member's or MUFA librarian's pregnancy or parental leave falls within or overlaps the period of any other approved leave, the salary and benefit provisions of the other leave will be continued and that portion of the pregnancy or parental leave preceding, or extending beyond, the other approved leave will be eligible for financial benefit according to Option 'A' or 'B' above, up to the maximum length of the option selected.

A faculty member or MUFA librarian who goes on pregnancy or parental leave when his/her vacation would normally have been taken will have the option to take her vacation during the twelve months following the end of the period of leave.

A faculty member's pregnancy or parental leave may overlap the period of an approved Research Leave. The usual practice is that the unused portion of the Research Leave is taken immediately following the end of the pregnancy or parental leave. Any departure from this practice requires the approval of the Research Leaves Committee.

## **III Notice**

In order that suitable arrangements can be made to provide for the absence of a faculty member or MUFA librarian on a pregnancy or parental leave, a faculty member or MUFA librarian is expected to provide as much notice as possible of their qualification for, and intent to take, such a leave, normally at least two weeks.

A pregnancy or a parental leave must be taken in one continuous leave. A faculty member or MUFA librarian electing not to take the maximum amount of time available for a leave will not have the option of taking any untaken leave at a later date.

A faculty member or MUFA librarian is normally expected to give four weeks notice of the date of return to work, should this be different from the previously agreed date.

## **IV Provisions Specific to a Pregnancy Leave**

Pregnancy leave begins no later than the date of the birth of the child (or children) and no sooner than 17 weeks prior to the anticipated delivery date. [NOTE: EI eligibility does not commence sooner than 8 weeks prior to the anticipated delivery date.]

Mothers of children who require lengthy post-natal hospital care shall have the opportunity to delay all or part of pregnancy leave until the child (or children) is (are) released from hospital.

In exceptional circumstances, a pregnancy leave may be extended beyond the 17-week period, at the discretion of the appropriate Dean/Supervisor.



## **V Provisions Specific to a Parental Leave**

Both parents are eligible to take a parental leave provided that the total period of their combined leaves does not exceed 35 or 37 weeks, as the case may be. The two week qualifying period under the EIA need only be fulfilled by one spouse.

A parental leave must begin no later than 52 weeks after the birth of the child or, in the case of adoption of a child, after the child first comes into the custody, care and control of the parent.

An employee taking a pregnancy leave is entitled to unpaid parental leave of 35 weeks in addition to the paid weeks of pregnancy leave. For a birth mother, parental leave commences when her pregnancy leave ends. A birth mother who does not opt to receive financial benefits during her pregnancy leave may choose between one of the two options available for financial benefits during parental leave.

An employee who has not taken a pregnancy leave prior to her parental leave is entitled to 37 weeks of unpaid parental leave (the two week qualifying period under the EIA plus 35 weeks).

In some circumstances a pre-adoption leave may be granted to provide the faculty member time to address requirements of the adoption process. For example: the time to travel to a foreign country to receive custody of the adoptive child. In this situation it is requested that the faculty member provide reasonable advance notice of the leave requirement.

## **VI Actual Caregiver**

An employee who assumes actual care of a newborn or newly-adopted child (or children) is entitled to the same parental leave as biological or adoptive parents, provided that the employee has had 13 weeks continuous employment at McMaster by the date the leave commences. No financial benefits accompany such a leave.

## **VII Academic Career Decisions**

A faculty member or MUFA librarian who is on, has taken, or was eligible for leave in connection with the birth or adoption of a child shall have the opportunity for up to one year from the birth or adoption of a child to elect to have academic decisions relating to that individual's career development (e.g., tenure review) deferred, in normal circumstances, by one year. A faculty member is expected to discuss his/her position with the Dean and Department Chair within one year from the birth or adoption of a child, and to advise them of his or her decision as soon as possible. A request for deferral must be made in writing to the Dean or the normal timing of academic career decisions shall continue. Upon approval of such deferral by the Dean, a recommendation to that effect is submitted to the Provost. A decision to defer academic decisions related to the individual's career development must be confirmed in writing via

a letter from the President, and signed back by the faculty member.

### **VIII Information**

For questions on the administration of this policy, contact Human Resources Services at Extension 23743 or e-mail [benefits@mcmaster.ca](mailto:benefits@mcmaster.ca).

Complete Policy Title:  
**Faculty Reduced Workload Policy**

Policy Number (if applicable):  
**SPS C5**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**June 6, 2012  
July 5, 2012 (effective July 1, 2012)**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**Appendix B, Tenure and Promotion Policy,  
June 2007**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

### **1. Intent of Policy**

The intent of this policy is to allow faculty members to reduce their workload by as much as 50%. It applies to, but is not limited to, personal situations. See SPS C6 for reduced workload as a phase-in to retirement.

### **2. Eligibility**

All tenure-stream and teaching-stream faculty members are eligible. For special-stream faculty, the regulations of the external funding agency need to be taken into account in determining eligibility.

### **3. Participation**

- (i) Reduced workload normally will be instituted at the faculty member's request, and any faculty member intending to exercise this option will give as much notice as possible in writing to his/her Department Chair.
- (ii) Such requests will be discussed fully with the Department Chair and the Faculty Dean.
- (iii) The standard form of reduced workload will be an equal proportionate reduction in teaching, research (scholarly activity), and service, as defined for the individual faculty member. Any non-standard form of proportional reduction must be

---

specifically requested in writing by the faculty member, endorsed by the Dean and authorized by the Provost.

- (iv) Faculty who move to a reduced workload may be required to obtain co-supervisors for any graduate students for whom they serve as primary supervisors at the time they enter into a reduced workload arrangement; they will not be able to accept new graduate students for primary supervision while on reduced workload without permission from their Chair and the Dean of Graduate Studies; in those cases, a co-supervisor may be required to be named.
- (v) The maximum duration of a period of reduced workload normally will be three years, although under exceptional circumstances an extension may be authorized by the Provost, in consultation with the Dean.
- (vi) With respect to the timing of consideration for tenure, promotion, or permanence, the "clock" typically is expected to slow proportionally to the workload reduction. The Provost, in consultation with the Dean, will determine the details of how the "clock" timing is set, considering the details of each individual request on a case-by-case basis.
- (vii) The resumption of full-time duties normally will be automatic at the end of the agreed upon period; any earlier return will require approval of the Provost and review of any relevant Return to Work policy.
- (viii) In the case of a faculty member who has had a prior reduction in workload, he/she may apply for subsequent reduced workload provided that the cumulative time on reduced workload and all other leaves of absence or other qualifying periods for purposes of prescribed compensation are in compliance with the *Income Tax Act*. Consult Human Resources for detailed information.
- (ix) Final approval will be issued by the Provost following the necessary consultation with the Dean as described in (iii), (v) and (vi) above. In the case of faculty on tenure-track, teaching-track, and special appointments, the timing of the academic assessments referred to in Section III of the main Policy must be specified, including when the individual will be reviewed for tenure, CAWAR, or permanence. A letter detailing the terms of the reduced workload arrangement will be prepared by the Provost for the President's signature, and signed back by the faculty member.

#### **4. Salary**

The annual salary of the member on a reduced workload will be adjusted proportionally from the full-time base salary. Salary payments will continue to be made in accord with the regular McMaster payroll schedule throughout the year. The equivalent full-time base salary will be reviewed each year in accordance with the University salary CP/M policy, with performance expectations pro-rated (meeting pro-rated expectations would normally result in a CP/M score of 1 point).

#### **5. McMaster Contributory Pension Plan**

- (i) The faculty member's contributions to the McMaster Contributory Pension Plan will be calculated in accordance with the reduced salary.
- (ii) The period of reduced workload will count towards pension eligibility in proportion to the reduced workload.
- (iii) The rules and guidelines regarding participation are the same as those governing participation of full-time employees, as those rules and guidelines may change from time to time.

#### **6. Benefits**

- (i) Coverage for extended health and dental benefits will extend throughout the period of reduced workload. Benefits and contributions will be made on the same basis as for full-time employees.
- (ii) Coverage for group life will continue throughout the period of reduced workload. Benefits and contributions will be made on the same basis as for full-time employees.
- (iii) Coverage for salary continuance and long term disability will extend throughout the period of reduced workload. Benefits and contributions will be based on the reduced annual base salary.

Complete Policy Title:  
**Faculty Reduced Workload Policy –  
Phase-in to Retirement**

Policy Number (if applicable):  
**SPS C6**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**June 6, 2012  
July 5, 2012 (effective July 1, 2012)**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**October 25, 2001 (SPS 23)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

### **1. Intent of Policy**

The intent of this policy is to allow faculty members to reduce their workload by as much as 50% **as a phase-in to retirement**. See SPS C5 for reduced workload not related to retirement.

### **2. Eligibility**

All tenure-stream and teaching-stream faculty members are eligible. For special-stream faculty, the regulations of the external funding agency need to be taken into account in determining eligibility.

### **3. Participation**

- (i) Reduced workload normally will be instituted at the faculty member's request, and any faculty member intending to exercise this option normally will give at least one full year's notice in writing to his/her Department Chair.
- (ii) Such requests will be discussed fully with the Department Chair, and all requests require approval by the Faculty Appointments Committee.
- (iii) The standard form of reduced workload will be an equal proportionate reduction in teaching, research (scholarly activity), and service, as defined for the individual faculty member. Any non-standard form of proportional reduction must be specifically requested in writing by the faculty member, authorized by the Provost, in consultation with the Dean.

- 
- (iv) Faculty who move to a reduced workload may be required to obtain co-supervisors for any graduate students for whom they serve as primary supervisors at the time they enter into a reduced workload arrangement; they will not be able to accept new graduate students for primary supervision while on reduced workload without permission from their Chair and the Dean of Graduate Studies; in those cases, a co-supervisor may be required to be named.
  - (v) The maximum duration of a period of reduced workload normally will be three years, although under exceptional circumstances an extension may be authorized by the Provost, in consultation with the Dean.
  - (vi) Once an agreement has been reached, a return to full-time duties normally will not be granted.
  - (vii) In the case of a faculty member who has had a prior reduction in workload, he/she may apply for subsequent reduced workload provided that the cumulative time on reduced workload and all other leaves of absence or other qualifying periods for purposes of prescribed compensation are in compliance with the *Income Tax Act*. Consult Human Resources for detailed information.

#### **4. Salary**

The annual salary of the member on a reduced workload will be adjusted proportionally from the full-time base salary. Salary payments will continue to be made in accord with the regular McMaster payroll schedule throughout the year. The equivalent full-time base salary will be reviewed each year in accordance with the University salary CP/M policy, with performance expectations pro-rated (meeting pro-rated expectations would normally result in a CP/M score of 1 point).

#### **5. McMaster Contributory Pension Plan**

- (i) The faculty member's contributions to the McMaster Contributory Pension Plan will be calculated on the basis of equivalent full-time salary then pro-rated according to the reduced workload.
- (ii) A year of reduced workload will be counted as one full year for pension purposes.
- (iii) The rules and guidelines regarding participation are the same as those governing participation of full-time employees, as those rules and guidelines may change from time to time.

---

## 6. Benefits

- (i) Coverage for extended health and dental benefits will extend throughout the period of reduced workload. Benefits and contributions will be paid at the same rate as for full-time employees.
- (ii) Coverage for group life will continue throughout the period of reduced workload. Benefits and contributions will be paid at the same rate as for full-time employees.
- (iii) Coverage for salary continuance and long term disability will extend throughout the period of reduced workload. Benefits and contributions will be based on the reduced annual base salary.



Complete Policy Title:

**Procedures for Faculty  
Appeal Tribunals**

Policy Number (if applicable):

**SPS D1**

Approved by:

**Senate  
Board of Governors**

Date of Most Recent Approval:

**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

**January, 1993**

Supersedes/Amends Policy dated:

**February, 2002 (SPS 20)**

Responsible Executive:

**Provost and Vice-President (Academic)**

Enquiries:

[University Secretariat](#)

*DISCLAIMER: If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

## **I Definitions**

The following definitions are used in these procedures:

1. 'Appellant' means a faculty member who is entitled to appeal a tenure/permanence and/or promotion decision according to the Tenure and Promotion Policy, Section IV, clause 2 [hereinafter cited as the Policy, Section IV, clause 2].
2. 'Determining Committee' or 'Respondent' means the party to the appeal other than the Appellant as otherwise defined, together with its representative, within the Policy, Section IV, clauses 6(a) and 6(b).

## **II Documents Governing Appeal Procedures**

The following documents, in descending order of paramouncy, set out the basic procedures and principles which must govern all appeal proceedings

1. The Statutory Powers Procedure Act (the "SPPA"),
2. McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion, January 2012 (the "Policy")
3. Senate By-laws -- By-laws 146 and 147, and

4. Faculty Association Observers at Appeal Tribunal Hearings (“SPS D2”).

### **III Purpose of an Appeal**

An appeal affords an Appellant the opportunity, within the institutional framework of the University, to appeal a decision denying tenure/permanence and/or promotion. The Appeal Tribunal (as defined in the Policy, Section IV, clause 2), composed of three members of faculty who have not been previously involved in the decision under appeal, is empowered to review the evidence, both written and oral, upon which the decision being appealed was based, to consider new evidence under certain circumstances (see the Policy, Section IV, clause 10) and to decide, by a majority, whether to grant the appeal of the decision. The Appeal Tribunal’s members are the sole judges of fact and shall render a decision which is fair and just in the circumstances.

The delegated authority of Senate, under Section IV, clause 12 of the Policy renders the decision of the Appeal Tribunal final and the report to Senate is informational.

### **IV Procedure Leading to Establishment of Appeal Tribunal**

1. The appeal shall be submitted in writing by the Appellant to the University Secretary.
2. The University Secretary shall acknowledge receipt of the appeal within five business days and forward a copy to the Tenure and Promotion Appeals Nominating Committee of Senate.
3. The receipt of the appeal shall be reported for information to the next Senate meeting.
4. The Tenure and Promotion Appeals Nominating Committee shall nominate, for recommendation to Senate, the membership of an Appeal Tribunal, in conformity with the Policy, Section IV, clause 3. Prior to the nomination to Senate, the Appellant and the Chair of the Determining Committee are informed of the list of suggested members for the Appeal Tribunal and each may object, and give reasons for objecting, to any person or persons on it. Objections shall be considered by the Tenure and Promotion Appeals Nominating Committee, but the Committee retains all discretion to nominate the members of the Appeal Tribunal.
5. By resolution, Senate shall establish the Appeal Tribunal, as recommended by the Tenure and Promotion Appeals Nominating Committee, and in doing so, delegates authority to make the final decision to the Appeal Tribunal.
6. Thereafter the University Secretary shall inform the Appellant and Determining Committee of the composition of the Appeal Tribunal.
7. Prior to the first substantive hearing date, the University Secretary (or delegate) shall convene a procedural meeting of the Appeal Tribunal members to review the relevant procedures, establish fixed subsequent date(s) for a hearing, timelines for the

exchange of documents and submissions, and decide other procedural matters. At this meeting, the Appeal Tribunal shall select from its members a Chair. The Chair has primary responsibility for the orderly conduct of the proceedings. The University Secretariat shall provide administrative support to the Appeal Tribunal. After the procedural meeting, a formal Notice of Hearing is sent by the University Secretariat to the Appeal Tribunal and to the parties to the appeal.

## **V Procedures Prior to the First Hearing**

The University Secretariat shall correspond with the parties as follows:

1. The Appellant shall be requested to provide the following information:
  - a. preference for an open or closed hearing (see V, 3. a. below);
  - b. names of witnesses to be called (see V, 3. d. below);
  - c. name of Appellant's counsel or advisor, if applicable (see V, 3. b. below);
  - d. whether the Appellant is agreeable to having a Faculty Association Observer present during the appeal hearings and if so, to all documentation being provided to the Observer;
  - e. a written statement giving reasons for contesting the decision of the Determining Committee, as well as any other documents the Appellant wishes to provide prior to the first hearing.
  
2. All written material submitted by the Appellant shall be forwarded to the Determining Committee. The Determining Committee shall then be requested to provide the following information:
  - a. preference for an open or closed hearing (see V, 3. a. below);
  - b. names of witnesses to be called (see V, 3. d. below);
  - c. name of Respondent's counsel, if applicable (see V, 3. b. below);
  - d. The name(s) of the individual(s) who will represent the Determining Committee at the hearings
  - e. a written statement responding to the Appellant's reasons for contesting the decision of the Determining Committee, as well as any other documents the Respondent wishes to provide prior to the first hearing.
  
3. Clarification of Procedural Elements:
  - a. Open or Closed Hearing -- The S.P.P.A. requires that all hearings be open (Section 9). However, the hearings may be closed when the Appeal Tribunal is of the opinion that intimate financial or personal matters would be disclosed (Section 9, [1][b] of the S.P.P.A.). Therefore the Appeal Tribunal, after hearing from the parties (Policy, Section IV, clause 9), shall decide whether the hearings should be open or closed.

- b. Counsel -- Either party to the appeal may be represented by counsel or an advisor who will speak and submit argument on behalf of the party, except for the party's own testimony. (Policy, Section IV, clause 7). Although more than one counsel or advisor may represent a party, only one representative may speak, after being clearly identified, for the party during any one segment of the hearing.
- c. Evidence -- Either party has the right to present evidence at the hearing and both parties must see any documentary evidence which is presented to the Appeal Tribunal (Section 10, S.P.P.A.) subject to the specific regulations regarding evidence set out in the Policy, Section IV, clauses 10 & 11.
- d. Witnesses -- Both parties and the Tribunal have the right to call, examine and cross-examine all witnesses.

A person appearing before the tribunal shall be required to give evidence under affirmation or oath (Section 22, S.P.P.A.).

The Appeal Tribunal has discretion to limit the testimony and questioning of witnesses to those matters it considers relevant to the disposition of the case (Section 23[2], S.P.P.A.).

Parties are responsible for producing their own witnesses and for paying the costs associated with their appearance before the Appeal Tribunal. The Appeal Tribunal has no power to award costs for or against a witness, party or counsel. The Appeal Tribunal Chair has the power to compel a witness to attend and parties may request the Chair's aid in this regard (Section 12, S.P.P.A.).

Witnesses, who are not parties, are present in the hearing room only during their testimony. During any recess or adjournment prior to the completion of the witness' testimony, a witness may not discuss his/her testimony with any other person including counsel, a party or other witness.

- e. Recesses and Adjournments Subject to the restrictions on witnesses above, during a Hearing, the Appeal Tribunal may grant a recess or an adjournment to allow parties or the Appeal Tribunal to review written or documentary evidence submitted at the hearing or for any other reason to ensure a fair hearing (Section 21, S.P.P.A.).

## **VI First Hearing**

At the first hearing the following matters should be addressed:

1. whether the hearing will be open or closed;
2. the procedure to be followed for the presentation of evidence. (Normally the procedure used is the one outlined in Section VII);
3. the identification of counsel, if any, by both parties to the appeal;
4. the witnesses to be called by the parties to the appeal. If, during the course of the hearings, either party wishes to call additional witnesses, the Appeal Tribunal and the other party must be informed prior to the hearing at which the witness or witnesses are to appear.

## **VII Procedures for Appeal Hearings**

Appeals are conducted in accordance with Section IV of the Tenure and Promotion Policy and S.P.P.A. Requirements of the S.P.P.A., termed as "minimal rules", do not set out explicit procedures regarding the conduct of meetings or hearings, but rather leave much to the discretion of the Appeal Tribunal based upon the other informing documents and the law. The main purpose of the "minimal rules" is to ensure that the Appellant receives a fair hearing and all parties have appropriate notice of hearing and opportunity to participate.

Appropriate Procedures-- Where any procedural matter is not dealt with specifically in the Tenure and Promotion Policy or in these procedures, the Appeal Tribunal may, after hearing submissions from the parties and considering the principles of fairness, establish an appropriate procedure.

The Appellant bears the onus to make his or her case (i.e., why the Respondent should have recommended her or him for tenure/permanence and/or promotion). The following order of proceedings shall be followed:

1. The Appellant presents the reasons for appealing and provides evidence in support of those reasons. In addition to the submission of documents, this includes the calling of any witnesses, and the examination and cross-examination of witnesses by the Respondent and questioning by the Appeal Tribunal.
2. The Respondent answers the allegations by way of an opening statement and then calls its witnesses, if any, and/or submits written evidence to show the Appeal Tribunal why the previous decision was made and answer the Appellant's assertions. The Appellant has the right to cross-examine, and the Appeal Tribunal has the right to question, the witnesses called by the Respondent.

3. The Appellant then has the opportunity to reply to provide evidence solely in the Respondent's evidence.
4. The hearing then concludes with summation and argument by each party; first the Appellant and then the Respondent, with the Appellant having the right to solely reply again to the Respondent's argument, if necessary. The Appeal Tribunal is free to ask questions at the conclusion of each party's submission.

## VIII Record of Proceedings

The University Secretary (or delegate) shall maintain a log of the audio recording so that if any Appeal Tribunal member or party to the appeal wishes to locate certain testimony, this information can be found. Appeal Tribunal members must, however, keep their own notes of the hearings if they wish to have a record of the testimony other than the audio recording.

Although the hearing shall be recorded in order to obtain an accurate record of the proceedings, such audio recording is done for convenience purposes only and the malfunction of the recording device or subsequent loss of the recording shall not invalidate, in any way, the related hearing. The recording shall be held in confidence by the University Secretariat for a period of three years from the date of the Appeal Tribunal's report to Senate.

## IX Faculty Association Observer

The Senate policy governing Faculty Association observers is:

**"that, subject to the agreement of the Appellant, a Faculty Association observer be permitted to be present at all hearings of appeal tribunals and to receive all the documentation available to the appellant. Such an observer would be non-participating."** (Approved by Senate - June 13, 1979).

The agreement of the Appellant should be obtained before the first hearing as to whether he or she has any objection to a Faculty Association Observer being present. In seeking this agreement, the University Secretary shall provide the Appellant with a copy of SPS D2.

The Faculty Association Observer is subject to the "Faculty Association Observers at Appeal Tribunal Hearings" SPS D2.

The Faculty Association observer also receives a copy of the document in which the Appeal Tribunal reports its decision to Senate.

## **X Reports to Senate from Appeal Tribunals**

At the conclusion of the hearings, the Appeal Tribunal shall decide whether or not to grant the appeal.

The Appeal Tribunal shall report its decision in writing to the parties and to Senate.

The Appeal Tribunal is required to report to Senate within three months, under normal circumstances, of its being constituted. (Senate By-law 147(b)). The report goes to Senate for information only, although the Chair of the Tribunal may be invited to the Senate meeting to answer any questions of information or clarification. If the appeal is successful, Senate shall proceed to recommend to the Board of Governors that the faculty member be granted tenure/permanence and/or promotion.

Senate requires that the following information be included in the Report to Senate from an Appeal Tribunal.

1. A statement of the essential nature of the appeal (for example, appeal of a decision not to promote, appeal of a decision to deny tenure/permanence, etc.) and the decision reached by the Appeal Tribunal, i.e. whether the appeal was successful or not, as well as whether or not the vote was unanimous.
2. An outline of the nature of the case and the process and reasoning in relation to the University's criteria for tenure/permanence, reappointment or promotion, as appropriate, which led to the Tribunal's decision.
3. To be included in an appendix:
  - a. a list of meetings and hearings held by the Appeal Tribunal;
  - b. a list of evidence considered by the Tribunal; and
  - c. a list of the witnesses called by parties to the Appeal and/or the Appeal Tribunal.

If an Appeal Tribunal feels that there are issues which relate to Senate policies or any other matters on which it wishes to make comments or recommendations, such recommendations or comments shall be made in a separate report to the appropriate University body.

4. The report to Senate from the Appeal Tribunal is also subject to the following Senate policies:
  - a. The report to Senate of an Appeal Tribunal, whether the appeal hearings are held in open or closed session, is available on request from the University Secretary after such report has been received by Senate, subject to the written agreement of the Appellant and any other party who might be identified in the report. (Approved by Senate: October 12, 1977)

- b. In the case of written appeal reports, where comment is passed on the role played by an individual, the relevant portion of the report shall be made available to that individual subsequent to the Senate meeting, and he/she shall be given the opportunity to communicate with the Senate. (Approved by Senate: June 11, 1975)
- c. Recordings and/or minutes of Appeal Tribunals, as well as any supportive documents or evidence, are to be released if such material is requested by the Human Rights Commission in support of a specific complaint. (Approved by Senate: October 12, 1977) Such material must be retained by the University Secretariat for a minimum of 36 months.



Complete Policy Title:  
**Faculty Association Observers at Appeal  
Tribunal Hearings**

Policy Number (if applicable):  
**SPS D2**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**April 22, 1996 (SPS 21)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

1. As described in Section IV, clause 8, of the McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion (referred to below as the "Tenure and Promotion Policy"), the Faculty Association is permitted, subject to the consent of the Appellant, to send an Observer to any Appeal Hearing.
2. The function of the Observer is to allow the Association to monitor the workings of the appeal procedures of which it is joint author.
3. The University Secretary shall send a copy of these guidelines to the Appellant when an Appeal Hearing is initiated and shall ask the Appellant in writing whether the Appellant consents (a) to the presence of a Faculty Association observer, and (b) if so, to all the documentation being provided to the Observer. The University Secretary shall notify the Faculty Association of the Appellant's response. If the Appellant consents to the presence of an Observer, the Association shall inform the faculty member and the University Secretary who the Observer will be.
4. The Observer does not attend on behalf of the Appellant or the Respondent. The Observer nominated by the Faculty Association should be an active or retired member of the Association and should be at "arm's length" from the case. The Observer should avoid interacting with either of the parties. At no time should the Observer engage the parties or the tribunal in any discussions regarding the matter under appeal.

5. The Observer must be familiar with the most recent edition of the Tenure, and Promotion Policy, and particularly with Section IV on Appeal Procedures and with these guidelines. The Observer should carry a copy of these documents to the Hearing.
6. Seating arrangements at the Hearing are at the discretion of the Chair of the Appeal Tribunal. The Observer may not speak without an invitation from the Chair.
7. The Observer shall be provided with all the documentation available to the appealing faculty member whose case is being observed, subject to the consent of the Appellant. This documentation shall be considered confidential and must be surrendered to the Chair at the close of the appeal hearings.
8. The Observer is not entitled to be present when the Appeal Tribunal members recess for discussion among themselves.
9. The Observer will receive a confidential copy of the document in which the Appeal Tribunal reports its decision to Senate.
10. After the hearing is over the Observer should ask the parties separately, and outside of the presence of the Appeal Tribunal, if they were satisfied with the procedures followed and whether they wish to make any comment on them.
11. The Observer shall then write a **report** of the proceedings for the President of the Faculty Association using the ATTACHED FORM (available from the University Secretariat). The Observer shall limit comment to **procedural matters** and take care not to quote either from confidential documents or confidential utterances, unless it is absolutely necessary to do so to make a point concerning procedural issues. The Observer's report should include a statement of what proportion of the Hearing the Observer attended and a description of any comments on, or expressions of dissatisfaction with, the procedures by either party. The Observer's report should not be confidential, except that any quotations from confidential documents or confidential utterances should be confined to a confidential appendix to which only the Presidents of the University and of the Association should have access. If major procedural irregularities are noted by the Observer, the President of the Faculty Association should inform the President of the University.

Complete Policy Title:  
**Faculty Association Observers at Removal Proceedings**

Policy Number (if applicable):  
**SPS D3**

Approved by:  
**Senate  
Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011  
December 15, 2011**

Date of Original Approval(s):  
**Spring, 1990**

Supersedes/Amends Policy dated:  
**April 22, 1996 (SPS 22)**

Responsible Executive:  
**Provost and Vice-President (Academic)**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

1. As described in Section VI, clause 5, of the *McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion* (henceforth Tenure and Promotion Policy), the Faculty Association is permitted, subject to the consent of the faculty member against whom removal proceedings have been instituted, to send an Observer to any meetings between the two parties to the proceedings, including the meetings described in Section VI, clauses 4 and 6 and the hearing described in Section VI, clauses 12 and 13, of the Tenure and Promotion Policy.
2. The function of the Observer is to allow the Association to monitor the workings of the removal procedures of which it is joint author.
3. At the time of sending the faculty member under consideration the written notification described in Section VI, clause 4, of the Tenure and Promotion Policy, the President of the University shall ask the faculty member in writing (with a copy to the McMaster University Faculty Association) whether the faculty member consents (a) to the presence of a Faculty Association Observer, and (b) if so, to all the documentation being provided to the Observer. The President of the University shall notify the Faculty Association and the University Secretary of the faculty member's response. If the faculty member consents to the presence of an Observer, the Association shall inform the faculty member and the University Secretary who the Observer will be.
4. The Observer does not attend on behalf of the faculty member against whom removal proceedings have been instituted. Nor does the Observer attend on behalf of the

President of the University. The Observer nominated by the Faculty Association should be an active or retired member of the Association and should be at “arm’s length” from the case. The Observer should avoid interacting with either of the parties. At no time should the Observer engage the parties in any discussions regarding the matter(s) at issue.

5. The Observer must be familiar with the most recent edition of the Tenure and Promotion Policy and particularly with Section VI on Removal Procedures and with these guidelines. The Observer should carry a copy of these documents to the Hearing, if one is to be held according to Section VI, clause 9 of the Tenure and Promotion Policy.
6. Seating arrangements at the Hearing are at the discretion of the Chair of the Hearing Committee (see Section VI, clauses 9 and 10 of the Tenure and Promotion Policy). The Observer may not speak without an invitation from the Chair.
7. The Observer is to be provided with all the documentation available to the faculty member whose case is being observed, subject to his or her consent. This documentation shall be considered confidential and must be surrendered to the Chair at the close of the removal hearings.
8. The Observer is not entitled to be present when the Hearing Committee members recess for discussion among themselves.
9. The Observer will receive a confidential copy of the document in which the Hearing Committee reports its decision to Senate.
10. After the hearing is over the Observer should ask the parties separately, and outside of the presence of the Hearing Committee, if they were satisfied with the procedures followed and whether they wish to make any comment on them.
11. The Observer shall then write a report of the removal proceedings for the President of the Faculty Association using this [form](#) (available from the University Secretariat). The Observer should limit comment to **procedural matters** and take care not to quote either from confidential documents or from confidential utterances, unless it is necessary to do so in order to make a point concerning procedural issues. The Observer's report should include a statement of what proportion of the Hearing the Observer attended and a description of any comments on, or expressions of dissatisfaction with, the procedures by either party. The Observer's report should not be confidential, except that any quotations from confidential documents or confidential utterances should be confined to a confidential appendix to which only the Presidents of the University and of the Association should have access. If major procedural irregularities are noted by the Observer, the President of the Faculty Association should send a copy of the report to the President of the University.

Complete Policy Title:  
**Statement on Academic Freedom**

Policy Number (if applicable):  
**SPS E1**

Approved by:  
**Senate**  
**Board of Governors**

Date of Most Recent Approval:  
**December 14, 2011**  
**December 15, 2011**

Date of Original Approval(s):

Supersedes/Amends Policy dated:  
**December 14, 1994 (SPS 25)**

Responsible Executive:  
**University Secretariat**

Enquiries:  
[University Secretariat](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

---

McMaster University is dedicated to the pursuit and dissemination of knowledge. The University's faculty members<sup>1</sup> enjoy certain rights and privileges essential to these twin objectives. Central among these rights and privileges is the academic freedom, within the terms of their appointment, to pursue multiple avenues of inquiry; to teach and to learn unhindered by non-academic constraints; and to engage in full and unrestricted consideration of any opinion. This freedom extends not only to members of the University faculty, but to all who are invited by faculty to participate in its academic fora. All faculty members of the University must recognize this fundamental principle and must share responsibility for supporting, safeguarding and preserving this central freedom. Behaviour that obstructs free and full academic and scholarly pursuit, not only of ideas which are safe and accepted but of those which may be unpopular or even abhorrent, vitally threatens the integrity of the University, and cannot be tolerated.

Suppression of academic freedom would prevent the University from carrying out its primary functions. In particular, as an autonomous institution McMaster University will protect its faculty from any efforts, from whatever source, to limit or suppress academic freedom.

Academic freedom carries with it the duty to use that freedom in a responsible and professional manner consistent with the pursuit and dissemination of knowledge.

---

<sup>1</sup> University faculty members are defined as those current or retired academic staff who are/were covered by the terms and conditions of the McMaster University Revised Policy And Regulations With Respect To Academic Appointment, Tenure And Promotion