

Letter of Understanding

Between

The University of the Fraser Valley

("Employer")

And the

University of the Fraser Valley Faculty and Staff Association

("Association")

Effective the date of approval of this Letter of Understanding (LOU), the employer and the Association agree that the Terms and Procedures for Tenure and Promotion of UFV Faculty set out in the Appendix to this LOU will apply and will be incorporated into the collective agreement which will commence in 2014 as follows:

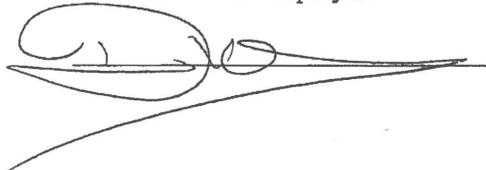
1. The Terms and Procedures for Tenure and Promotion of UFV Faculty set out in the Appendix to this Letter of Understanding will become effective on the date of approval of the Standards for Tenure and Promotion by the UFV Senate.
2. The parties agree that a review of the Terms and Procedures for Tenure and Promotion of UFV Faculty set out in the Appendix to this Letter of Understanding will take place during the term of the collective agreement commencing in 2014. This purpose of the review will be to identify modifications the parties agree are necessary to clarify the terms and/or address non-material procedural problems. Preferably the review will take place two years after the procedures are implemented.
3. The review will be carried out by a four person committee, with two members appointed by the FSA and two members appointed by the employer. The parties agree that all committee members will be familiar with the terms and procedures and that at least one member will have served during the previous two years as chair of one of the Tenure and Promotion committees of faculty and/or Senate.
4. The parties anticipate that Senate approval of the Standards for Tenure and Promotion of UFV Faculty will be complete no later than December 31, 2014, leading to a January 1, 2015 implementation date for the Terms and Procedures for Tenure and Promotion of UFV Faculty. The review committee would therefore commence its work on January 1, 2017 and deliver its report to the LAM committee on April 30, 2017. After reviewing the report, the LAM Committee will refer recommended modifications to the Agreements Committee of the UFV/FSA Collective Agreement

and to the parties' principals for approval with the intention of enabling changes to be in place prior to the August 1 normal appointment date for new faculty. The actual dates for the review will be established by LAM with the intent of enabling changes before the normal August 1 start date for UFV faculty.

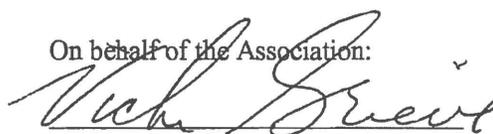
5. Where the parties do not agree on a recommended modification or modifications to the Terms and Procedures for Tenure and Promotion of UFV Faculty, the parties agree that the relevant language set out in this Letter of Understanding will remain in effect, and that the recommendations will serve to inform the principals to this agreement with respect to future negotiations.

Signed Oct 30, 2014

On behalf of the Employer:

A handwritten signature in black ink, consisting of a large, stylized initial 'E' followed by a long horizontal stroke that tapers to a point on the right.

On behalf of the Association:

A handwritten signature in black ink, appearing to read 'Nick Brevi' in a cursive script.

Appendix:
Terms and Procedures for Tenure and Promotion

May 13, 2014

Preamble	2
Definitions	2
1) General Overview	4
2) Application for Tenure and Promotion	5
3) Application Review Procedure	6
4) Appeals to the University Review Appeals Committee (URAC)	8
5) Decision of the President	9
6) The Dossier	10
7) External Reviews for Promotion to the Rank of Full Professor	12
8) The Tenure and/or Promotion File (TPF)	14
9) Division Review Committees (DRCs): Terms of Reference	15
10) University Review Committee (URC): Terms of Reference	17
11) University Review Appeals Committee (URAC): Terms of Reference	18
12) Conflict of Interest	19

Preamble

UFV and the FSA affirm the primary importance of teaching for its faculty and the institution; the value of diverse forms of scholarship as an integral and enriching component of university teaching; and the significance and wide range of service as essential to faculty professional activities, community engagement, and academic governance.

Our system of promotion through academic ranks and granting of tenure respects these aforementioned principles, and is in accordance with Articles 12.6 (Faculty Appointments, Probation and Grandparenting), 18 (Working Conditions for Teaching Faculty), and all other applicable sections of the Agreement.

Candidates for tenure and promotion will be assessed using the standards for tenure and promotion developed within UFV academic areas and approved by the University Senate. These standards will apply to teaching; research, scholarly and/or creative activities; and service. They will reflect the working conditions at UFV, a teaching-intensive university with primary focus on undergraduate education.

In the application of these standards a minimum of 60% of the assessment will be based on teaching, a minimum of 20% on one of scholarship or service, and a minimum of 10% on the remaining component.

In order for promotion and tenure to be fair and equitable, a clear and transparent assessment process must be in place. The procedures below are meant to ensure that such a process is well understood by all concerned.

Definitions

- (a) Candidate: the faculty member who is applying for tenure and/or promotion.
- (b) Curriculum Vitae (CV): an up-to-date written record of professional activity which includes teaching and related activities; research, scholarly and creative or other relevant activities; and service.
- (c) Division: a primary academic unit, including a program, department, school, or interdisciplinary unit.
- (d) Division Review Committee (DRC): a committee of tenured faculty, formed at the divisional level, responsible for receiving and reviewing all applications for tenure and/or promotion from within the division, and which recommends to the University Review Committee (URC) whether a candidate will be granted or denied promotion and/or tenure. The composition of the DRC is outlined in Section 9.
- (e) Dossier: the material submitted by a candidate as described in Section 6.

- (f) Letter of Assessment: an external reviewer's written assessment of a candidate's achievement in teaching; research, scholarly and/or creative activities; and service, as related to UFV's Standards.
- (g) Peer evaluation: a written assessment of a candidate's teaching by his or her divisional, disciplinary or professional colleagues using an approved colleague evaluation form.
- (h) Profile for assessment: a candidate's statement of the relative weight he or she wishes to have applied to teaching; research, scholarly and/or creative activities; and service when the application for tenure and/or promotion is assessed.
- (i) Promotion: a change in rank from Assistant Professor to Associate Professor or from Associate Professor to Full Professor.
- (j) Standards: the standards for tenure and/or promotion, by which a candidate will be assessed, as developed within the UFV academic areas and approved by the University Senate.
- (k) Student evaluation: evaluation of faculty teaching completed by students in a course using an approved UFV questionnaire.
- (l) Tenure: the right to a permanent appointment which may be terminated only through resignation, retirement, dismissal for cause, or other reasons specified in Article 12.7(d)(iii).
- (m) Tenure and/or Promotion File (TPF): a collection of documents including the dossier and other relevant materials as outlined in Section 8, and upon which a decision for tenure and/or promotion is based
- (n) Tenure-track: an appointment that may lead to tenure.
- (o) University Review Appeal Committee for Tenure and Promotion (URAC): a standing committee appointed jointly by the UFV President and the FSA Executive to hear and review an appeal of a negative recommendation on tenure and/or promotion rendered by the University Review Committee (URC). The composition of the URAC is outlined in Section 11.
- (p) University Review Committee (URC): a committee formed at the university level by the Provost/Provost's office; tenured faculty and administrators on this committee are responsible for receiving and reviewing all applications for tenure and/or promotion sent to them by the DRCs, and recommending to the President whether tenure or promotion should be granted or denied. The composition of the URC is outlined in Section 10.
- (q) Year: the Academic Year beginning September 1 annually.

1) General Overview

- (a) In order to apply for tenure, faculty must hold a tenure-track appointment and have successfully completed an initial probationary period (in accordance with article 12.7(a)(iii)). Tenure-track faculty will normally apply during the fourth year and no later than during the fifth year of employment but may, in exceptional circumstances, apply for tenure during the third year.
- (b) In his or her initial probationary appointment, a faculty's progress through probation will be assessed in accordance with article 12.7(b).
- (c) The initial probationary evaluation process provides an assessment that assists the Dean in determining whether the faculty has successfully completed his or her initial probation.
- (d) The Dean will provide the faculty with formative assessment during the second probationary period of the faculty's tenure-track appointment.
- (e) The Employer and the FSA will hold jointly a workshop for members who are planning to apply for tenure and/or promotion. The purpose of the workshop will be to help members to understand the process and their rights within it.
- (f) Once the application for tenure and/or promotion has been submitted, all steps will be processed in a timely manner so that the final decision is made available to the candidate by June 1 of the review year.
- (g) A candidate's application for tenure and/or promotion will be considered in the following stages of deliberation:
 - (i) When the candidate is eligible to apply for tenure and/or promotion, the candidate prepares a dossier (see Section 6) and submits an application for tenure and/or promotion to the Chair of his or her Division Review Committee (DRC) (see Section 9). A Tenure and/or Promotion File (TPF) (see Section 8) is opened for the candidate.
 - (ii) The DRC reviews the TPF and makes a recommendation to the University Review Committee (URC) (see Section 10). The recommendation of the DRC may be negative or positive; it is not binding on the URC and may not be appealed. While the Faculties and Senate develop and review the standards for tenure and/or promotion, these bodies do not review applications.
 - (iii) The URC reviews the TPF (including the recommendation from the DRC). The URC will then make a recommendation to the President of the University.
 - (iv) If the URC makes a negative recommendation, the candidate may appeal this decision to the University Review Appeal Committee (URAC) (see Section 11). If the URAC determines that the grounds for the appeal have been substantiated, then

it must recommend a mechanism by which such error can be corrected, and refer the matter back to the URC, giving specific recommendations to the URC on how to deal with the case. The URC must address the URAC recommendations and report to the President the actions it took.

- (v) The President of the University makes a decision on behalf of the Board of Governors, based on all the evidence and recommendations included in the TPF. The President will report that decision to the Board of Governors (see Section 5)
- (h) If academic administrators are to be considered for promotion, their application will be reviewed by the URC. They may appeal a negative recommendation of the URC to the URAC. The final decision is made by the President.
- (i) No one is eligible to serve on a review committee during the year he or she is being considered for tenure and/or promotion.
- (j) No one will serve on a review or appeals committee without having completed a training workshop provided by the University and the FSA. The purpose of the workshop shall be to foster competency and equity in the decision-making process, by making committee members and alternates aware of the Standards; the methods of assessing dossiers using these Standards; and these procedures.

2) Application for Tenure and Promotion

- (a) Between February 1 and February 28 of the fourth year of the faculty's tenure-track appointment, the Dean will send written notification to the faculty that he or she is expected to apply to be reviewed for tenure and promotion in the following year; and that should the faculty not apply, his or her employment at the University will cease at the end of the tenure-track appointment.
- (b) Notwithstanding Article 12.7(a) and paragraph 2(a), faculty on tenure-track appointments and maternity or parental leave may elect to defer consideration of the application relating to his or her tenure for one year by providing written notice to the Dean no later than two months prior to the commencement of the leave. The two month notice may be waived on medical grounds. For faculty on approved long term disability leave the deferral period will be two years from the date of the approved long term disability leave.
- (c) Notwithstanding Article 12.7(a) and paragraph 2(a), faculty on a tenure-track appointment may apply to the Dean by March 31 of the fourth year of the appointment for an extension for no more than one year due to exceptional circumstances. Faculty on a tenure-track appointment will not be granted an extension more than once, except by expressed written permission from the President.

- (d) In cases of deferrals and/or extensions, the period of the candidate's tenure-track appointment will be extended accordingly.
- (e) Faculty who are eligible to apply for early tenure under Article 12.7(a) may apply by sending written notification to the Dean between March 1 and March 31. Faculty who choose to be considered for early tenure will not be required to demonstrate qualifications beyond those considered appropriate for tenure, nor will evaluators lower standards in order to accommodate such a candidate.
- (f) Candidates applying for early tenure and promotion, or candidates applying for promotion to Full Professor, who wish to withdraw their applications may do so before June 10 of the year preceding the review year by sending written notification to their Dean.
- (g) All those applying to be reviewed for tenure and/or promotion in the following year must submit a dossier by June 10.
- (h) A candidate denied promotion to Full Professor must wait two full years before re-applying. A candidate may re-apply twice.
- (i) If a faculty reapplies for promotion to Full Professor, he or she will submit a new application, including the submission of a new dossier. New letters of assessment from external reviewers will also be solicited.

3) Application Review Procedure

- (a) In assessing applications for tenure and/or promotion, the deliberations of all evaluators will be governed by procedural fairness and the highest standards of integrity, professionalism, discretion and equity. Evaluations will be based only on the information contained in the candidate's TPF.
- (b) As noted in the Preamble, candidates for tenure and/or promotion will be assessed using the Standards.
- (c) Prior to the meeting of the DRC as provided in (d) below, the Dean will provide the candidate and the Chair of the relevant DRC with a written assessment of the candidate's progress since the end of the initial probationary period. The candidate will be given the opportunity to respond in writing to the Dean's assessment and report.
- (d) The Committee (DRC or URC) will meet, without the candidates, to consider applications. Before the initial meeting, the Committee chair will confirm that all members of the Committee have completed the training as per Section 1(i) and provide each member with a written copy of the specific Standards by which the candidate's application will be assessed.

- (e) The Committee (DRC or URC) may, at any time the majority deems necessary, ask candidates to provide clarification of any information and/or material contained in the TPF. Both the request for, and response to, clarification should be provided in writing, and will be added to the TPF.
- (f) The Committee (DRC or URC) may, at any time the majority deems necessary, request that the Dean or the candidate appear before the Committee to answer questions about the application for tenure and/or promotion. A written record of the questions and answers will be placed in the TPF.
- (g) The TPFs and the deliberations of all committees considering tenure and/or promotion applications will be treated as strictly confidential. Candidates will communicate with committees only through the chairs. Committee members who discuss cases with any persons outside the committee, except as specified in this Article, may be found in breach of confidentiality.
- (h) After deliberating on an application, and determining whether or not the candidate meets the Standards, all DRC members with the exception of the Chair will vote (with no abstentions) on a motion that is framed in the affirmative: That the candidate be granted tenure and promotion to Associate Professor, or promotion to Full Professor. The Chair of the Committee will not vote except to break a tie. The Committee's recommendation will be determined by a majority of the ballots cast, and each member of the DRC will, after the ballot has been taken, state the reasons that were persuasive in his or her vote. The Chair will write a report that is an accurate reflection of the committee's majority recommendation. Any member who dissents will be required to state his or her reasons in writing, and the dissent will be appended to the majority report. No names will be attached to either the majority recommendation or any dissenting opinion(s).
- (i) If the recommendation of the Committee (DRC or URC) is for denial of tenure or promotion, the reasons shall be substantive and pertain to the Standards.
- (j) The DRC Chair shall forward the TPF, including the recommendation from the Committee, to the appropriate Dean and to the Chair of the University Review Committee. The DRC Chair shall also provide a copy of the recommendation and report to the candidate.
- (k) If the DRC's recommendation is to deny tenure or promotion, the candidate may provide a written response to the recommendation and report in time to be included in the materials forwarded to the URC.
- (l) The URC will review the DRC's report, the candidate's TPF and, after deliberating on the application, and determining whether or not the candidate meets the Standards, all Committee members with the exception of the Chair will vote (with no abstentions) on a motion that is framed in the affirmative: That the candidate be granted tenure and promotion to Associate Professor, or promotion to Full Professor. The Chair of the Committee will not vote except to break a tie. The Committee's recommendation will be

determined by a majority of the ballots cast, and each member of the URC will, after the ballot has been taken, state the reasons that were persuasive in his or her vote.

- (m) If the URC's recommendation differs from that of the DRC, the URC will consult with the Chair of the DRC to consider whether all elements of the TPF have been considered and whether the discrepancy can be resolved. The Chair of the URC will reconvene the committee to take a final vote. The URC shall not capriciously overturn a recommendation of the DRC.
- (n) The Chair of the URC will write a report that is an accurate reflection of the committee's majority recommendation. Any member who dissents will be required to state his or her reasons in writing.
- (o) The URC Chair shall forward the TPF, including the recommendation from the Committee, to the appropriate Dean and to the President. The URC Chair shall also provide a copy of the recommendation and report to the candidate.
- (p) If the URC makes a negative recommendation, the candidate may appeal this recommendation to the University Review Appeal Committee (URAC) on any of the grounds set out below in Section 4. The Chair of the URC shall provide the TPF to the URAC.
- (q) If the URAC determines that the grounds for the appeal have been substantiated, then it must recommend a mechanism by which such error can be corrected, and refer the matter back to the URC, giving specific recommendations to the URC on how to deal with the case. The URC must address the URAC recommendations and report to the President the actions it took.
- (r) The President of the University will make a decision on behalf of the Board of Governors, based on all the evidence and recommendations received. The President will report that decision to the Board of Governors (see Section 5). The President's decision is final.

4) Appeals to the University Review Appeals Committee (URAC)

- (a) A candidate may appeal a negative recommendation of the URC on one or more of the following alleged grounds:
 - (i) A material procedural irregularity or defect in the application of these procedures;
 - (ii) Unreasonableness of the decision on the basis of the evidence of the improper application of the Standards.
- (b) The candidate will submit a Notice of Appeal, including the statement of case, to the Chair of the URAC with a copy to the President of the University and to the President of

the FSA within 10 working days of having received the URC's recommendation. The Chair will then convene a meeting of the URAC.

- (c) The URAC will review the recommendation of the URC, and will recommend to the President that either:
 - (i) the URC's negative recommendation be upheld; or
 - (ii) the URC's negative recommendation be reconsidered. If the URAC determines that the grounds for the appeal have been substantiated, then it must recommend a mechanism by which such error can be corrected, and refer the matter back to the URC, giving specific recommendations to the URC on how to deal with the case. The URC must address the URAC recommendations. It must then report the actions it took in response to the URAC and send its report along with the complete TPF to the President.
- (d) The URAC shall make its recommendations known in writing to the candidate, the President, the DRC, the URC and the FSA, stating its reasons based on the appropriate criteria and the specific grounds in the notice of appeal.
- (e) Appeals are not intended to supplant or infringe upon the candidate's right to grieve the Terms and Procedures for Tenure and Promotion under Article 7 of the Collective Agreement.

5) Decision of the President

- (a) The President reviews the recommendations of the URC, or if applicable the URAC, and by June 1 of the review year makes one of the following decisions on behalf of the Board:
 - (i) For promotion: either that the candidate be promoted or not be promoted;
 - (ii) For tenure: that tenure be granted or that tenure be denied.
- (b) The President will review the TPF, including the recommendations of all committees, and make his or her decision based on all the available evidence. If the President's decision is to deny tenure and/or promotion, the President will specify the reasons in writing.
- (c) The President shall not capriciously overturn a recommendation of the URC.
- (d) The decision of the President is final and is not subject to appeal.
- (e) The decision of the President may be grieved on the grounds set out in Article 7.

6) The Dossier

- (a) It is the candidate's responsibility to provide evaluators with sufficient information for them to make a reasoned evaluation of the application for tenure and/or promotion.
- (b) Faculty applying for tenure and/or promotion must prepare a dossier that will be reviewed by evaluators. Candidates applying in the same year for both tenure and promotion need to prepare only one dossier. All candidates must submit their dossier in portable document format (PDF).
- (c) The dossier will contain materials listed in paragraphs (d) to (f) below, and will be grounded in Article 18.1 (Teaching Faculty Duties) and in the Standards.
- (d) Candidate's Profile for Assessment. In accordance with Article 12.7, the candidates will declare the relative weight (in terms of percentage point) they wish to have applied to teaching; research, scholarly and/or creative activities; and service, when their application for promotion is assessed. For a total of 100%, a minimum of 60% of the assessment must be accorded to teaching; a minimum of 20% to either scholarship or service; and a minimum of 10% to the remaining component. Both the Statement of the Case for Tenure and/or Promotion (e), and the documents providing evidence of achievement (f) and (g), should reflect this profile.
- (e) Statement of the Case for Tenure and/or Promotion. This part of the dossier will consist of a candidate's statement of 1,000 to 1,500 words, written in the form of a case made to a jury of one's peers, as to why the candidate should receive tenure and/or promotion, and should reference material in the dossier. The candidate may include information on any special factors that have limited the candidate's productivity in teaching, scholarship or service, such as personal circumstances, expectations of particular appointments (e.g. research chairs holding teaching appointments), or lack of access to adequate resources or facilities.
- (f) Curriculum Vitae. The candidate will provide an up-to-date curriculum vitae (CV).
- (g) Further documents which provide evidence of the candidate's achievements in meeting the Standards in the following areas:
 - (i) Teaching:
 - a. A Statement of Teaching Philosophy of approximately 500-1000 words that outlines the candidate's objectives in teaching and learning, as well as the methods and means of achieving and evaluating those objectives;
 - b. A list of courses taught, along with the most recent syllabus for each undergraduate and graduate course taught in the last five years (or parts of courses taught as a member of a team); a representative sample of assignments

and exams; and other instructional material designed, and as deemed relevant to the application, by the candidate. Previous syllabi may be included;

- c. A list of individual student projects, or theses, supervised or mentored (at UFV and other universities), whether completed or in progress, and outlining the nature of the candidate's involvement;
- d. Further evidence of achievement in teaching, which may include:
 - contribution to curriculum development;
 - description of awards or special recognition for teaching excellence;
 - a description of relevant professional development;
 - evidence of mentoring or training others in teaching;
 - evidence of outstanding academic achievement by the candidate's students;
 - any other material the candidate deems relevant.

(ii) Research, Scholarship and/or Creative Activities:

- a. Candidates should include or make available copies of their scholarly or creative work, including but not necessarily limited to books, articles, reports, audio-visual materials, case studies, professional handbooks, and any other research or creative material the candidate deems relevant.
- b. In cases of collaborative work, the candidate will make clear the extent of his or her contribution to the works produced in cooperation with others.
- c. Candidates may include further evidence of achievements, such as:
 - description of the most significant contributions to their professional field;
 - description of awards or special recognitions;
 - invited publications, presentations, and exhibitions;
 - research grants;
 - successful research collaborations;

 - evidence of outstanding scholarly or creative achievement by the candidate's students;
 - any other material the candidate deems relevant.

(iii) Service:

- a. A list of the candidate's record of university, Faculty, Senate, divisional, and FSA committees, task forces or working groups, and brief description of the role of the candidate in that service work;

- b. Additional evidence of achievement in service, such as university administrative work; active participation in professional organizations; peer reviewing activities; significant service in community organizations and public service where the member has made a non-remunerative contribution by virtue of special academic competence or expertise; and any other material the candidate deems relevant.

7) External Reviews for Promotion to the Rank of Full Professor

- (a) All TPFs to be reviewed for the promotion to the rank of Full Professor shall include letters of assessment from two external reviewers.
- (b) Each candidate for promotion will submit the names and contact information for two external reviewers to the Dean of his or her Faculty. Likewise, the DRC will submit to the Dean the names and contact information for two external reviewers. These will be compiled without consultation with the candidate. Each name must be accompanied by a brief description of the individual's qualifications to serve as a reviewer. The Dean will select from each list one external reviewer who will be asked to provide the letters of assessment for the candidate. If none of the reviewers are able to provide an assessment, the Dean will ask the candidate and the DRC to provide a supplementary list of two potential reviewers each (including names, contact information, and brief description of their qualifications to serve as reviewers). If the candidate and the DRC are unable to provide supplementary names that are available to serve as external reviewers, it is the Dean's responsibility to find two suitable external reviewers.
- (c) All potential reviewers must be at arm's length. No individual may act as an external referee where there is a real or perceived conflict of interest. They cannot be the candidate's family members; have served as the candidate's graduate or postdoctoral supervisor; have collaborated in any meaningful or direct way with the candidate in the last five years; or hold or have held appointments at the University of the Fraser Valley.
- (d) The candidate will be informed of the names of the potential reviewers and have the opportunity to challenge those names stating substantial reason. The Dean will consider the challenge and make the decision. The candidate will not know the identity of actual reviewers. The candidate will receive a copy of the assessments, with all of the external reviewers' identifying information removed, and have an opportunity to comment in writing prior to consideration of the assessments by the review committees.
- (e) All reviewers should normally be recognized academics who hold or have held the rank of Full Professor. In exceptional circumstances, the Dean may consider up to one external reviewer with equivalent expertise.
- (f) The Dean will provide to external reviewers the candidate's dossier in portable document format (PDF) along with the collated, numeric results of the candidate's teaching evaluations.

- (g) Letters to reviewers will make clear that UFV is a primarily undergraduate and teaching-centered institution, and that they shall evaluate the dossier using UFV's Standards. Reviewers will be made aware of any special factors that have limited the candidate's productivity, such as noted in 6(e) above. Reviewers will not be required to evaluate any area of the application (teaching; research, scholarly and/or creative activities; or service) if they do not feel qualified to do so. The letters will not request that the reviewer make a recommendation either for or against promotion, but that he or she assess the candidate's record as described below.
- (h) Letters of assessment from external reviewers will reference the candidate's material provided by the Dean, and comment on the candidate's performance in teaching; research, scholarly and/or creative activities; and service as they relate to the Standards. Such letters of assessment shall normally provide information on:
- (i) whether the reviewer knows the candidate and, if so, in what capacity and for how long;
 - (ii) the significance and influence of the candidate's teaching on its own merits and/or in comparison to instructional achievements of other leading teachers in a similar career stage in the same or related fields;
 - (iii) the significance and influence of the candidate's scholarship, research or creative work and the degree of national/international recognition on its own merits and/or in comparison with the accomplishments of other leading scholars, researchers or creative practitioners at a similar career stage in the same or related fields;
 - (iv) the significance, reach and commitment of the candidate's service achievements.
- (i) Any external assessment that is not submitted by the time the DRC begins its deliberations shall be deemed invalid with no prejudice to the candidate; in such a case, the Dean shall inform the DRC that they may proceed with the review even though there is only one letter of assessment.

8) The Tenure and/or Promotion File (TPF)

- (a) Each candidate's TPF is distinct from his or her other employee records, and it will normally be housed in the office of the Dean of the candidate's Faculty.
- (b) The TPF will include all information which the tenure and promotion committees will assess to determine whether to recommend that a candidate be granted tenure and/or promotion. The TPF will include:
 - the candidate's letter of application;
 - the dossier;

- the Dean's summary report of the candidate's initial probationary evaluation process;
 - official student and peer evaluations:
 - i. for tenure, student evaluations for every course taught up to the application for tenure; peer evaluations for at least one course per semester up to the application for tenure;
 - ii. for promotion to Full Professor, all required student evaluations (as per Article 13.5) and student evaluations for a representative sample of courses taught in the two years preceding application for promotion; peer evaluations for at least one course per semester in the two years preceding application for promotion;
 - the Dean's written assessment of the candidate's progress since the end of the initial probationary period;
 - any records as described in Section 3 (e) or (f) above;
 - for promotion to Full Professor, letters of assessment by external reviewers.
- (c) For those faculty grandparented according to Article 12.7, and who apply for promotion to Full Professor prior to 2016, the requirement for student evaluations in addition to those designated in Article 13, as well as requirements for the peer evaluations, will be limited to samples from the time period between the date at which this article comes into effect and the date of the application for promotion.
- (d) As the application proceeds through the DRC and URC, recommendations and reports from those committees will be added to the TPF, along with any relevant correspondence with the candidate.
- (e) Except where provided for in the Collective Agreement, no material will be placed in the candidate's TPF by anyone other than the candidate without the written consent of the candidate. Aside from official student evaluation surveys, no anonymous material will be placed in the candidate's TPF.
- (f) A TPF will be closed five days before the DRC meets to consider the application. No additional material will be added to the TPF except as otherwise provided in these procedures.
- (g) Up to the point when the TPF is closed, materials relevant to the decision-making process, including awards for outstanding work or records of disciplinary action, may be sent to a candidate and will be included in the candidate's TPF. The candidate will be entitled in each case to respond to such materials. Failure by a candidate to respond will not prejudice the substantive consideration of the application and will only be interpreted as the candidate choosing not to respond.
- (h) The contents of the TPF will be available for inspection only by the candidate (accompanied by an FSA representative if the candidate wishes), the Dean, the members of the relevant DRC, the members of the URC, the members of the URAC (if applicable), and the President of the University. With the exception of office

administrators, no other person will have access to the TPF without the written permission of the candidate. At the appropriate stages of deliberation, the office responsible for the TPF will ensure that the individuals named in this Article have convenient, secure, and unprejudiced access to the TPF.

- (i) A candidate's TPF shall be retained intact for one year following the completion of the promotion and/or tenure process, including any appeals, and any resulting grievance and/or arbitration process. At the conclusion of the one year period, any material submitted in non-electronic format will be returned to the candidate.
- (j) The curriculum vitae and the President's decision will be retained permanently in the candidate's personnel file.

9) Division Review Committees (DRCs)

- (a) The Dean shall be responsible for the establishment of Division Review Committees (DRCs) in his or her Faculty.
- (b) It shall be the responsibility of the DRC to receive and review all applications for tenure or promotion in its Division and to make recommendations to the URC. The DRC's deliberations are confidential.
- (c) Those eligible to serve on the DRC are tenured Associate Professors or Full Professors.
- (d) Those eligible to elect the DRC members shall be those in the Division holding the rank of Assistant, Associate, or Full Professor.
- (e) The composition of the DRC shall be:
 - (i) the head of the Division, who shall chair the committee, but shall not vote except to break a tie (if the head of a Division is applying for promotion and/or tenure, or is unable to serve as chair, or if there is no one divisional head, the Dean, in consultation with the DRC, will appoint a chair);
 - (ii) three tenured faculty from the Division elected by the members of the Division. If a Division has five or fewer tenured faculty, or if an insufficient number of tenured members of the Division are eligible or prepared to serve, then the Dean will combine related Divisions for the purpose of forming a DRC, after consulting with the Divisions involved. The Divisions and the Dean will agree on a chair (or chairs) for the combined DRC;
 - (iii) one tenured member from the Division (or combined Divisions) elected by the members of the Division (or combined Divisions) to serve as committee alternate, or if no tenured member is eligible or prepared to serve as alternate, a tenured

member from within the Faculty will be elected by the members of the combined Divisions;

- (iv) one tenured faculty who is not a member of the Division (or combined Divisions), appointed by the Dean, and who, preferably, has been a member of a DRC, URC, a Faculty Standards committee, or the Senate Standards Committee within the previous five years.
- (f) For cross-appointments, the composition of the Joint DRC shall be:
 - (i) the heads of the two Divisions in which the joint appointment is held (the head of the home Division shall chair the committee, but shall not vote except to break a tie; the head of the non-home Division shall be without vote); in the event that the head of the home Division is unable to chair, the head of the non-home Division will chair, or a chair will be appointed by the Dean.
 - (ii) three members from the DRCs in the Divisions in which the joint appointment is held, elected by the members of each DRC (normally, two from the home Division, one from the other unit);
 - (iii) one tenured faculty who is not a member of the Division(s), appointed by the Dean, and who, preferably, has been a member of a DRC, URC, a Faculty Standards committee, or the Senate Standards Committee within the previous five years.
- (g) Quorum shall consist of the committee chair and three of the four voting members.
- (h) All members shall endeavour to participate in all meetings of the committee. An elected member who misses two consecutive regular meetings will be deemed to have resigned from the DRC, and will be replaced by the alternate. If the appointed member misses two consecutive meetings, the Dean will be asked to appoint an alternate. No member present at the deliberations of a DRC may abstain from voting, even if such a member has not been present at all previous meetings to consider a given application.
- (i) Faculty elected or appointed to a DRC will normally serve terms of three years.
- (j) Faculty may serve on no more than two DRCs in any year.

10) University Review Committee (URC): Terms of Reference

- (a) It shall be the responsibility of the Provost/Provost's office to form a University Review Committee (URC).
- (b) The composition of the University Review Committee (URC) will be:

- (i) the Provost, who shall chair the committee, but shall not vote except to break a tie;
 - (ii) Three Deans appointed by the Provost with voting rights;
 - (iii) one tenured faculty of any rank from each Faculty who will have voting rights and will represent his or her Faculty;
- (c) URC members representing a Faculty will be elected by the tenured and tenure-track faculty from within the Faculties; each Faculty will also elect an alternate.
- (d) If there are not enough candidates in an election to produce the required number of members and alternates, committee members will be appointed by the President. The appointments must follow, whenever possible, the distribution requirements of the Committee.
- (e) The URC will have one alternate Dean, appointed by the President, who will serve when the candidate is from the Faculty of the Dean serving on the URC.
- (f) Quorum for the URC is two-thirds of the elected and appointed membership. The Chair of the Committee must be in attendance.
- (g) All members shall endeavour to participate in all meetings of the Committee. A member who misses two consecutive regular meetings will be deemed to have resigned from the URC, and will be replaced by an alternate. No member present at the deliberations of the URC may abstain from voting, even if such a Member has not been present at all previous meetings to consider a given application.
- (h) The President of the FSA will be informed by the Provost of the membership of the URC and any subsequent membership changes that may be necessary
- (i) Elections and appointments.
- (i) Members elected or appointed to the URC will serve a three-year term of office beginning on September 1 (or after) and ending on June 30, with the terms staggered so as to elect only one half of the faculty members in any one year. (The year that the URC is initially formed, the term of half of the faculty members, identified by lot, will be two years. Subsequently, all members of the URC will be elected for terms of three years.)
 - (ii) The Provost will notify tenured and tenure-track faculty that elections will be held for the URC and that nominations are invited. Faculty must be nominated in writing by other tenured or tenure-track faculty. Elections will be conducted by secret ballot. There will be no voting by proxy. Tenured and tenure-track faculty are eligible to vote for the member(s) on the URC who represent their Faculty.

- (iii) The alternates will not participate in the deliberations or decision-making of a committee unless there is a vacancy, in which case an alternate will be appointed by the chair as a member with voting rights.
- (iv) In any given year, faculty can serve at only one of the following levels of decision-making: the URAC, the URC (including as an alternate), and the DRCs (including as an alternate).
- (v) The FSA's President, Contract Administrators, Faculty VP, and Chief Negotiator must not sit as members or alternates on any DRC, the URC, or the URAC.
- (vi) There is no limit on how often faculty can be elected to serve on a DRC or the URC.

11) University Review Appeals Committee (URAC): Terms of Reference

- (a) It shall be the joint responsibility of the UFV President and the FSA Executive to form a URAC.
- (b) The URAC will be a standing committee comprised of three members, all of whom must be tenured faculty at the rank of Associate Professor or Full Professor. One member is appointed by the UFV President, one is appointed by the FSA Executive, and one is appointed jointly by both parties to serve as Chair. No more than one member may be appointed from any one Faculty. Members of the committee will serve for a three year term with a possibility of reappointment.
 - (i) The Members of the URAC will have DRC or URC experience and training in appeal procedures.
 - (ii) If a member of the URAC has a conflict of interest as defined in Section 12 below, that member should be replaced by a joint decision of the UFV President and FSA Executive.

12) Conflict of Interest

- (a) Members on all committees will familiarize themselves with UFV's policies on conflict of interest. In particular, committee members will not participate in the deliberations or recommendations of any application where they are in a conflict of interest, or where there may be a reasonable perception that they are unlikely to render an unbiased judgment.
- (b) Candidates may indicate to the Chair of the relevant review committee in writing if they consider a member of the DRC, URC or URAC to be in a conflict of interest with regard

to their application. If the Chair determines that a conflict of interest exists, such members will be asked by the Chair to remove themselves from the Committee only for that application, and will be replaced by an alternate for that application.

- (c) Candidates may indicate to the President of the University in writing that they consider the Chair of the DRC, the Chair of the URC, and/or the Chair of the URAC to be in a conflict of interest with regard to their application. If the President determines that a conflict of interest exists, the Chair will be asked by the President to remove him/herself from the Committee only for that application and will be replaced by an alternate for that application.
- (d) At any time, a member of a committee may declare a conflict of interest with an applicant and may withdraw from the Committee for that particular application, in which case the member will be replaced by an alternate.