

**Article 10: Tenure and Promotion****10.1 Tenure and Promotion for Faculty Employees****(a) Appointments without Tenure**

- (i) An appointment without tenure shall be made as a term appointment, or a preliminary (tenure-track) appointment at the rank of Lecturer, Assistant Professor, Associate Professor or Full Professor.
- (ii) A faculty term appointment is one made without expectation of renewal (subject to Article 37). A term appointment may, however, be renewed and a faculty member employed under successive term appointments must in the fifth year of such employment be considered for tenure. In any case successive term appointments must not exceed a period of six years.
- (iii) A preliminary (tenure-track) appointment at the rank of Lecturer is one made where there is a specific requirement to complete the doctoral degree or the terminal degree for the discipline. Such requirements will be clearly stated in the letter of appointment. The length of a preliminary appointment as a lecturer shall normally be for three (3) years. If the requirement is successfully met, the appointment will be converted to the rank of Assistant Professor, and the appointee may choose to start the time to tenure from her/his initial appointment or his/her date of conversion to the new rank.
- (iv) Members being offered employment within disciplines where professional accreditation is necessary for the viability of the program may be required to, within 5 years of the commencement of employment, obtain the required credentials and shall maintain these credentials during their employment. When a member is required to achieve and maintain this credential, this requirement shall be outlined in the letter of appointment and any subsequent renewal.
- (v) The employer shall refund the employees in programs where professional accreditation is necessary for the fees incurred to initially obtain these credentials.
- (vi) A preliminary (tenure-track) appointment at the rank of Assistant Professor is one made with the expectation that, subject to successful reviews, it will be renewed and at some point succeeded by an appointment with tenure. The purpose of a preliminary (tenure-track) appointment is to allow sufficient time to successfully transition to a tenured appointment. Normally, an initial preliminary (tenure-track) appointment shall be for three years and renewal of a preliminary (tenure-track) appointment shall be for three (3) years. The maximum time in a preliminary (tenure-track) appointment shall not be for more than a total of seven (7) years, including

any years served on a preliminary appointment at the rank of Lecturer, but exclusive of extensions granted for other reasons, such as parental leave and pursuant to relevant legislation (see Article 5), and not counting periods of unpaid leave, from the date of the preliminary (tenure-track) appointment.

- (vii) A preliminary (tenure-track) appointment at the rank of Associate Professor or Full Professor is one made with the expectation that, subject to successful reviews, it will result in consideration for tenure within three years exclusive of extensions granted for other reasons, such as parental leave, periods of unpaid leave, and pursuant to relevant legislation (see Article 5). Normally, a preliminary (tenure-track) appointment at the rank of Associate Professor or Full Professor shall not be renewable. However, a short extension of not more than six (6) months may be granted by the Provost and Vice-President (Academic) on recommendation of the Dean.
- (viii) Each faculty member in a preliminary appointment shall receive a half-credit course release from the unit teaching load in their first year of appointment.
- (ix) On commencing a preliminary (tenure track) appointment candidates will be provided a startup research grant as appropriate to the faculty member's discipline.

**(b) Mentorship and Review of Preliminary Faculty Members**

- (i) The Dean (or designate) will meet with each faculty member on a preliminary appointment, within the faculty member's first semester of appointment and will discuss the approved criteria with respect to the granting of tenure and promotion. A written statement indicating that the meeting has taken place and including the criteria will be signed by the Dean and the faculty member and placed in the faculty member's file.
- (ii) If the requirements, as stated in the letter of appointment pursuant to Article 10.1(a)(iii), have been met prior to or at the end of the preliminary appointment, the employee shall be converted to a preliminary (tenure-track) appointment at the rank of Assistant Professor. Normally a preliminary appointment at the rank of Lecturer shall not be extended if the requirements have not been met. A short extension of not more than six (6) months exclusive of extensions granted for other reasons, such as parental leave, periods of unpaid leave, and pursuant to relevant legislation (see Article 5), may be granted by the Provost and Vice-President (Academic) on recommendation of the Dean and where there is a clear plan for completion of the requirement(s) within the period of the extension.

(c) **Pre-Tenure Annual Review of Preliminary Faculty Members**

- (i) All faculty members on preliminary appointments will have a written pre-tenure annual review in order to help them prepare for tenure and promotion. The responsibilities of the Chair/Director in the annual review of preliminary appointments include review of a faculty members' annual report (as part of the CDI process), as well as a written report that is submitted to the Dean. The responsibilities of the Dean in the pre-tenure annual review of preliminary appointments include review of the faculty members' annual report (as part of the CDI process), as well as review of the written report submitted by the Chair/Director, and one-to-one faculty member meetings where applicable.
- (ii) All faculty members on preliminary appointments shall submit a pre-tenure annual report that includes:
  - (1) progress towards meeting the requirements of the appointment as stated in the letter of offer;
  - (2) performance and progress towards meeting the criteria for tenure and/or promotion; and
  - (3) an up-to-date CV and any additional materials the appointee may wish to submit.

The report will be reviewed by their Chair/Director and the Dean.

- (iii) The Chair/Director will submit a written report to the Dean. The appointee shall receive a copy of this report. The Dean will review the report and may add comments, including any areas where the member needs to show improvement. The Dean may ask to meet with the faculty employee and discuss any issues arising from the report. Also the member may request a meeting with the Dean to discuss the report.
- (iv) A template shall be developed to facilitate these reviews and shall be approved by JCAA.
- (v) The Dean will sign the report and a copy will be placed in the employee's official file and shall be included in the file used to assess the employee for tenure and promotion.
- (vi) With the permission of individual tenured faculty members, units shall maintain a catalogue of successful research and teaching dossiers and make these available to all pre-tenure faculty employees for consultation.

(d) **Tenure**

- (i) Tenure and academic freedom are related to each other. Academic freedom is a right of all faculty members. The right to freedom is, generally, the right not to be interfered with. A faculty member's right to academic freedom is his/her right not to be interfered with in the discharge of his/her academic role. That role includes the acquisition of knowledge and skills and the guidance of others in the acquisition of these. The right to academic freedom includes, accordingly, the right of a faculty member to criticize the university in any respect in which it is an environment unfavourable to these ends in order to advocate changes which will make it a more favourable one, and in order to oppose changes which will make it a less favourable one. It also includes the right of a faculty member to investigate, to teach and to publish as well as to criticize any aspect of learning or society insofar as doing so is compatible with his/her academic obligation to discharge the academic role in a responsible way. The principle of appointments with tenure is an important safeguard of the right to academic freedom, thus understood.
- (ii) The term "tenure" means permanency of appointment including the right to fair consideration for increases of responsibility and salary, and for promotions in rank, and the right of a faculty member to continue as such subject only to dismissal for just cause, except as described under the conditions of Article 17.

## **10.2 University Criteria for Tenure and Promotion**

The work of an academic member of a modern university falls into a number of categories - teaching, scholarly studies or research, professional activities, the corporate work of the department, faculty and university, and activities related to the community. It is generally accepted that contributions to teaching and scholarly studies should receive paramount consideration in any tenure or promotion decision but that recognition must also be given for valuable contributions to the university, for professional achievement, and for contributions to the community.

It is assumed that all members of faculty are scholars and will communicate their knowledge, and that advancement in this University must be based on a person's intellectual development and maturity. As a teacher a faculty member has a vital function to play in the proper preparation and stimulation of students, and as a research worker a responsibility for extending the frontiers of knowledge of his/her subject. In addition, individuals may make contributions to the administration and development of the University and its programs of study, to the community, and to their professions. These contributions should be considered when evaluating individuals for tenure and promotion at all levels.

### **(a) University Criteria for Tenure**

- (i) Consideration for the awarding of tenure shall be based on the following criteria:
  - (1) Academic and Professional Credentials – possession of the normal credentials as defined for the position of Assistant Professor; usually an earned Ph.D. (or equivalent) or the degree that is determined as the terminal degree for the discipline and any additional credentials required for the specific position that were stated in the letter of appointment.
  - (2) Teaching Effectiveness – a record of successful and effective performance as a university teacher at Carleton University at all levels including advising and supervision of undergraduate and graduate students (as appropriate for the candidate and their academic unit).
  - (3) Research, Scholarly and/or Creative Work – a record of research, scholarship, and/or creative achievement as defined by the standards developed by the candidate's unit(s). ~~including published work assessed by peer review, external research funding, and other forms of scholarly productivity as appropriate to the discipline.~~
  - (4) Service to the University– an appropriate record of service to Carleton University (and other institutions where appropriate), such as administrative and committee duties and other professional activities which contribute to the operations of the University. It is expected that assigned service, pre-tenure shall be below the average service levels of faculty members in the same unit.
  - (5) Where there is a significant record of service to society relevant to the employee's disciplinary expertise such as but not limited to consultancies or collaborations with governments, international development agencies, communities, or the private sector or participation in scholarly and professional organizations and other activities, which further the University's mission of service to society, this shall be recognized.
- (ii) The application of the above criteria will be assessed within the context of approved unit standards developed in accordance with Article 10.3 below.

**(b) University Criteria for Promotion to Associate Professor**

- (i) Consideration for the awarding of promotion to Associate Professor shall be based on the following criteria assessed over the candidate's career achievements to date:

- (1) Academic and Professional Credentials – possession of the normal credentials as defined for the position of Assistant Professor; usually an earned PhD (or equivalent) or the degree that is determined as the terminal degree for the discipline, and any additional credentials required for the specific position that were stated in the letter of appointment.
  - (2) Teaching Effectiveness – a strong record of successful and effective performance as a university teacher at all levels including advising and supervision of undergraduate and graduate students (as appropriate for the candidate and their academic unit).
  - (3) Research, Scholarly and/or Creative Work – a strong and sustained record of research, scholarship, and/or creative achievement as appropriate for the field of expertise as defined in the unit approved standards ~~including published work assessed by peer review, external research funding, and other forms of scholarly productivity as appropriate to the discipline.~~
  - (4) Service to the University– an appropriate record of service to Carleton University (and other institutions where appropriate), such as administrative and committee duties and other professional activities which contribute to the operations of the University. It is expected that assigned service, pre-tenure shall be below the average service levels of faculty members in the same unit.
  - (5) Where there is a significant record of service to society relevant to the employee’s disciplinary expertise such as consultancies or collaborations with governments, international development agencies, communities, or the private sector or participation in scholarly and professional organizations and other activities, which further the University's mission of service to society, this shall be recognized.
- (ii) The application of the above criteria will be assessed within the context of Unit approved standards developed in accordance with Article 10.3 below.
- (c) **University Criteria for Promotion to Full Professor**
- (i) Promotion to the rank of Full Professor is based primarily on:
    - intellectual maturity;
    - outside recognition of the candidates as an authority in his/her chosen field

and

- significant contributions to research, scholarship and the profession and to the University.

Scholarship and significant contributions to one's professional field would be of paramount importance; teaching and other activities would receive less weight.

- (ii) The criteria for assessing promotion to the rank of Full Professor are:
  - (1) Teaching Effectiveness – a sustained record of successful and effective performance as a university teacher at all levels including advising and supervision of undergraduate and graduate students (as appropriate for the candidate and their academic unit).
  - (2) Research, Scholarly and/or Creative Work – a significant record of sustained and productive research, scholarship, and/or creative achievement as appropriate for the field of expertise, including published work assessed by peer review that has resulted in national and preferably international recognition and high standing in the discipline or field of expertise as defined in the approved standards developed by the candidate's unit(s).
  - (3) Service to the University, the Profession and Society – a significant record of service to Carleton University (and other institutions where appropriate), such as administrative and committee duties and other professional activities which contribute to the operations of the University;
  - (4) Where there is a significant record of service to the profession and society relevant to the employee's disciplinary expertise such as but not limited to consultancies or collaborations with governments, international development agencies, communities, or the private sector or participation in scholarly and professional organizations and other activities which contributes to the University's mission of service to society, this shall be recognized.
- (iii) Only in rare and exceptional cases would long years of valued service to teaching and to the University be expected to constitute sufficient grounds on their own for promotion to Full Professor.

### **10.3 Unit Approved Standards for the Application of the University Criteria for Tenure and Promotion**

All members of faculty are scholars who are dedicated to preserving and developing knowledge and who are committed to communicating the results of their work. Faculty

members do this as teachers, researchers and in other aspects of their role as a member of the University community. These varied contributions should be considered when evaluating a faculty member for tenure and for promotion at all levels within the framework of the University Criteria for tenure and promotion to Associate and Full Professor.

However, it is recognized that there may be different components to the evaluation of candidates, depending on their discipline or field. Similarly, there may be different patterns for career progress or promotion across disciplines and academic units. Approved unit standards for tenure and promotion are intended to respect these differences while maintaining the principle that tenure and progression through the ranks are based on the common set of attributes established at the university level.

An examination of the disciplines represented at Carleton leads to the conclusion that there must be some flexibility in the nature, assessment and weighting of the unit approved standards for tenure and promotion. The characteristics of research and scholarly work and the relationships of these to teaching, the degree to which work related to professional activities is involved and its relative importance, the opportunity to publish, the time required to develop a scholarly work to the publication stage, the relationship between research and the supervision of graduate students and other factors differ from one discipline to another making inequitable if not impractical any single evaluation scheme.

In the interests of achieving a degree of uniformity and some comparability, however, the developments of unit approved standards are to be couched in the overarching protections afforded by University level Criteria. Each Unit at Carleton shall, in essence, consider a discipline's academic and professional credentials and whether there is anything in a particular Unit that would alter and shape the unit approved standards. The purpose of the unit approved standards is to specify how each of the university criteria for tenure and promotion will be applied in the case of faculty members in the unit concerned. In essence, each unit must look at academic and professional credentials and whether there is anything in a particular unit that would alter and shape the approved standards. In developing unit approved standards, units shall consider the factors listed in Appendix B.

1. Each academic unit/s (Department/s or equivalent) will by way of a regularly constituted committee, representing all the areas of specialization in the unit, develop ~~and approve by the majority of all tenured and tenure-track faculty in the unit/s~~ a detailed specification of what would satisfy the above criteria for: i) Tenure, ii) Promotion to Associate Professor and iii) Promotion to Full Professor in the discipline/s in question. The specification will take into account the workload allocations within the department/unit. Upon development, these unit ~~approved~~ standards **must be approved by a majority of all tenured and tenure-track CUASA members at a duly constituted unit meeting for this purpose. Proxy votes shall be allowed. Once approved at the meeting of the unit, the standards shall be recorded as signed by the Chair/Director of the unit and forwarded to** ~~are subject to~~ a two-person peer review by tenured ~~Carleton~~

**CUASA** faculty members (with the rank of at least Associate Professor) appointed from outside the unit and by JCAA. **The peer reviewers shall submit to the unit a report on the standards with any suggested recommendations for revision. The unit, at a duly constituted meeting, shall review the recommendations of the peer reviewers and vote to reject, accept in part or accept in whole such recommendations. Once approved at the meeting, the standards shall be recorded as signed by the Chair/Director of the unit and a copy shall be forwarded to the relevant Dean, the Provost and Vice President (Academic) and CUASA.** The unit approved standards shall be consistent with the Collective Agreement. ~~Upon the approval of peer reviewers and the unit, the standards shall be reviewed by the Dean and the Provost and Vice President (Academic), and if considered acceptable, shall be signed by the Dean and a copy shall be forwarded to CUASA.~~

2. **By vote of the unit, standards may be reviewed at any time, but in no case shall standards be reviewed less than once every seven (7) years. Every seven (7) years a unit must review their approved standards. The standards shall remain in force should the unit vote not to revise.** If they decide the unit votes to revise the approved standards, the procedure for approval shall be the same as above.
3. **All votes held in the unit approved standards process shall occur at a duly constituted meeting of the unit and must be approved by a majority of all CUASA tenured and tenure-track faculty in the unit. Proxy voting shall be allowed.**

~~(a) — This process shall be completed by the end of June 2013. Should a unit fail to complete the development of unit approved standards by that time, the relevant Faculty Dean shall develop approved standards for the unit that are in line with the other units within the faculty. When the Dean has developed the approved standards for a unit, the unit shall have the right to amend the approved standards through the usual process within one year.~~

#### **10.4 Procedures for Application for Tenure and Promotion**

- (a) **Procedures for application for Tenure and Promotion to Associate Professor**
  - (i) The holder of a preliminary (tenure-track) appointment at the rank of Assistant Professor will be simultaneously considered for tenure and promotion to Associate Professor in the fifth year of the preliminary appointment at the rank of Assistant Professor. However, the holder of a preliminary (tenure-track) appointment at the rank of Assistant Professor may apply to be considered for tenure and promotion to Associate Professor in their 3rd or 4th years of service. Normal practice may vary from unit to unit. If a faculty employee applies for tenure and promotion in their third or fourth year of service and at the unit level Tenure and Promotion committee there is a negative decision, the candidate may withdraw his/her application without prejudice. If the candidate proceeds

to the Faculty level, then the full process, including appeals, will continue to a final decision except as described in Article 10.6(k) for the Sprott School of Business.

- (ii) Simultaneous consideration for tenure and promotion is undertaken at the unit (the Departmental Tenure and Promotion Committee) and at the Faculty level (the Faculty Tenure and Promotion Committee). At the University level, recommendations for tenure are assessed by the Provost and Vice-President (Academic) and recommendations for promotion are assessed by the University Promotions Committee.
- (iii) In all cases letters from external referees shall be available for consideration for promotion to Associate Professor at the Faculty and University levels in accordance with the procedures specified at Articles 10.4(a)(iv)(1 – 4); 10.4(b)(iii)(1 – 4); or 10.7(b) as applicable.
- (iv) Each candidate for tenure and promotion to Associate Professor will submit the names and contact information for three external referees to the Dean by July 1 of the year of application. The Dean will likewise select the names and gather contact information for three external referees chosen by him/herself. Where these referees are academics, they shall hold or have held at least the rank of Associate Professor. Where the referees are not academics, a justification for their inclusion and their ability to judge the scholarly merits of the file must be included.
  - (1) The list of names supplied by the candidate shall include a description of the qualifications of each referee, and of any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of the candidate's performance in research and scholarly and/or creative activity.
  - (2) The Dean shall provide each referee with the candidate's dossier, along with the criteria for promotion as described in Article 10.2(b) and the approved standards developed by the candidate's unit. The Dean shall ask for the referee's judgment on whether the candidate has met those criteria and unit approved standards. The letter from the Dean soliciting referees' judgments will become part of the candidate's dossier for consideration at Faculty and University level committees.
  - (3) External referee letters shall comment on the candidate's performance in research and scholarly and/or creative activity in relation to the University criteria and to the approved standards developed by the candidate's unit(s).
  - (4) The dossier must contain all letters received. The dossier should normally contain at least three (3) letters and at least one (1) of

these must be from names chosen by the candidate and at least one (1) must be an academic.

- (v) Each candidate will submit one (1) electronic copy and one (1) hard copy of their dossier to the Chair of the Departmental Tenure and Promotion Committee (DTPC) by September 15 of the year of application. The dossier will include a current CV, copies of all Annual pre-Tenure Reports as referred to in Article 10.1(c), a teaching dossier including teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the university criteria and approved standards of the unit. The candidate has the right to discuss their dossier with the Chairperson of the DTPC before submitting it to the committee.
  - (vi) No anonymous material may be considered at any level, and with the exception of the external letters of reference nothing may be added to the dossier at any time without the candidate's knowledge and consent.
- (b) **Procedures for Promotion to Associate Professor**
- (i) Promotion to the rank of Associate Professor may be considered after the lesser of five (5) years in the rank of Assistant Professor or six (6) years from the doctorate (or its equivalent). Such consideration will normally take place in the fifth (5th) or sixth (6th) year as appropriate.
  - (ii) Faculty members holding a preliminary appointment at the rank of Assistant Professor will be simultaneously considered for tenure or promotion unless they signal to the departmental- or school-level committee in writing that they wish to be considered for promotion solely in a particular year. These committees shall ensure that the deadline for application for promotion is communicated in writing to all faculty employees each year.
  - (iii) Each candidate for promotion to Associate Professor will submit the names and contact information for three external referees to the Dean by July 1 of the year of application. The Dean will likewise select the names and gather contact information for three external referees chosen by him/herself. Where these referees are academics, they shall hold or have held at least the rank of Associate Professor. Where the referees are not academics, a justification for their inclusion and their ability to judge the scholarly merits of the file must be included.
    - (1) The list of names supplied by the candidate shall include a description of the qualifications of each referee, and of any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of the candidate's performance in research and scholarly and/or creative activity.
    - (2) The Dean shall provide each referee with the candidate's dossier,

along with the university criteria for promotion as described in Article 10.2(b) and the unit approved standards developed by the candidate's unit. The Dean shall ask for the referee's judgment on whether the candidate has met those criteria and unit approved standards. The letter from the Dean soliciting referees' judgments will become part of the candidate's dossier for consideration at Faculty and University level committees.

- (3) External referee letters shall comment on the candidate's performance in research and scholarly and/or creative activity in relation to the University criteria and to the approved standards developed by the candidate's unit(s).
  - (4) The dossier must contain all letters received. The dossier should normally contain at least three (3) letters and at least one (1) of these must be from names chosen by the candidate and at least one (1) must be an academic.
- (iv) Each candidate will submit one (1) electronic copy and one (1) hard copy of their dossier to the Chair of the Departmental Tenure and Promotion Committee (DTPC) by September 15 of the year of application. The dossier will include a current CV, copies of all Annual pre-Tenure Reports as referred to in Article 10.1(c), a teaching dossier including teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the university criteria and unit approved standards. The candidate has the right to discuss their dossier with the Chairperson of the DTPC before submitting it to the committee.
  - (v) No anonymous material may be considered at any level, and with the exception of the external letters of reference nothing may be added to the dossier at any time without the candidate's knowledge and consent.
- (c) **Procedures for Tenure for Associate and Full Professors**
- (i) The holder of a preliminary appointment at the rank of Associate or Full Professor shall be formally considered by departmental and Faculty committees for an appointment with tenure in the fall term of their third year of service.
  - (ii) University criteria and unit approved standards for tenure for Associate and Full Professors shall be the same as they are for promotion to Associate Professor respectively.
  - (iii) Each candidate will submit one (1) electronic copy and one (1) hard copy of their dossier to the Chair of the Departmental Tenure and Promotion Committee (DTPC) by September 15 of the year of application. The

dossier will include a current CV, copies of all Annual Reports as referred to in Article 10.1(c), teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the criteria. The candidate has the right to discuss their dossier with the Chairperson of the DTTC before submitting it to the committee.

- (iv) No anonymous material may be considered at any level, and with the exception of the external letters of reference nothing may be added to the dossier at any time without the candidate's knowledge and consent.

(d) **Procedures for Promotion to Full Professors**

- (i) Promotion to the rank of Full Professor will usually not be considered before the lesser of seven (7) years in the rank of Associate Professor or thirteen (13) years from the conferring of the doctorate (or its equivalent). Such consideration will normally take place in the seventh (7th) or thirteenth (13th) year as appropriate.
- (ii) Faculty members will be considered for promotion only if they signify to the departmental- or school-level committee in writing that they wish to be considered for promotion in a particular year. These committees shall ensure that the deadline for application for promotion is communicated in writing to all faculty employees each year.
- (iii) In the case of applications for promotion to Full Professor, letters from external referees shall be available for consideration at the Faculty and University levels. Each candidate for promotion to Full Professor will submit the names and contact information for three (3) external referees to the Dean by July 1 of the year of application. The Dean will likewise select the names and gather contact information for three (3) external referees chosen by him/herself. Where these referees are academics, they shall hold or have held the rank of Full Professor. Where the referees are not academics, a justification for their inclusion and their ability to judge the scholarly merits at the Full Professor level must be included.
  - (1) Where suitable, the list of names supplied by the candidate shall include at least one referee from outside of Canada. Referees must be at arm's length from the candidate and any professional or personal relationship must be fully disclosed.
  - (2) The Dean shall provide each referee with the candidate's dossier, along with the criteria for promotion as described in Article 10.2(c) and the approved standards developed by the candidate's unit(s). The Dean shall ask for the referee's judgment on whether the candidate has met those criteria. The letter from the Dean soliciting referees' judgments will become part of the candidate's

dossier for consideration at Faculty and University level committees.

- (3) External referee letters shall comment on the candidate's performance in research and scholarly and/or creative activity in relation to the University criteria and to the approved standards developed by the candidate's unit(s). External referees for candidates applying for promotion to Full Professor will also be asked to speak to the intellectual standing of the candidate within the discipline or field of expertise
  - (4) The dossier must contain all letters received. The dossier should normally contain at least four (4) letters and at least two (2) of these must be from names chosen by the candidate and at least two (2) must be academics.
- (iv) Each candidate will submit one (1) electronic copy and one (1) hard copy of their dossier to the Chair of the Departmental Tenure and Promotion Committee by September 15 of the year of application. The dossier will include a current CV, copies of all Annual Reports (as defined by the Faculty), teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the university criteria and unit approved standards. The candidate has the right to discuss their dossier with the chairperson (or equivalent) before submitting it to the committee.
  - (v) No anonymous material may be considered at any level, and with the exception of the external letters of reference nothing may be added to the dossier at any time without the candidate's knowledge and consent.

### **10.5 Levels and Guidelines for Assessment**

- (a) The diversity of academic and professional disciplines at Carleton University make inequitable if not impractical any single interpretation of the evaluation criteria for tenure and promotions. Evaluators must be flexible in their assessment and weighting of the candidate's accomplishments, especially for tenure and promotions to the rank of Associate Professor. This includes acknowledging diverse career paths, ways of knowing, and forms of communicating knowledge.
- (b) As described in Article 10.3, each academic unit at Carleton University will develop disciplinary specifications of how the University criteria and approved unit standards in Articles 10.2 and 10.4 are interpreted for their disciplines or fields of study.
- (c) There are three levels of assessment in the tenure and promotion process:

- (i) The Departmental/Unit level assesses the candidate relative to the University criteria and the approved unit standards relative to the discipline and/or fields of the candidate. This is undertaken by the Departmental Tenure and Promotion Committee (DTPC).
- (ii) The Faculty level is more arm's length and stresses assessment from a more diverse and academically broader perspective. This is undertaken by the Faculty Tenure and Promotion Committee (FTPC).
- (iii) The University level brings a broader and more diverse perspective yet, assessing the candidate on the basis of the assessments and recommendation of the previous levels within the context of the approved unit standard(s), and with a view to ensuring that unreasonable disparities do not develop across the university. In the case of tenure, this is undertaken by the Provost and Vice-President (Academic); and in the case of promotion it is undertaken by the University Promotions Committee (UPC).

#### **10.6 Departmental/School Tenure and Promotion Committees**

- (a) By September 30 of each year, each department (including Schools) shall establish a Tenure and Promotion Committee comprised as follows:
  - (i) The department chairperson or school director as appropriate, and at least four other faculty members.
  - (ii) It shall be as representative as possible of the ranks and areas of interest in the department, including non-tenured members but a majority shall be tenured faculty at the rank of Associate Professor or above.
  - (iii) The chairperson of the committee shall be chosen through a procedure specified by the department/school.
  - (iv) The committee may include faculty members from other departments or schools.
- (b) All voting shall be by secret ballot. Abstentions, blank or spoiled ballots do not count for or against the candidate. If the committee has substantive questions regarding the dossier, the candidate shall be invited to respond in writing to the committee's concerns. The chairperson shall keep a record of the number of votes cast for and against each candidate, and the reasons for any no votes or abstentions. In the event of an appeal the candidate concerned shall be informed of the vote on his/her candidacy. The appropriate committee shall vote and make one of the following recommendations:
- (c) **For Tenure and Promotion to Associate Professor:**

- Tenure and promotion be granted.
- Tenure and promotion be denied.
- Tenure granted and promotion denied.
- Promotion be granted and tenure be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure occur in the second year of the extension (this can only be granted to a candidate once).
- Tenure and Promotion be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure and promotion occur in the second year of the extension (this can only be granted to a candidate once).

(d) **For Associate and Full Professors Applying For Tenure:**

- Tenure be granted.
- Tenure be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure occur in either the first or second year of the extension (this may only be granted to a candidate once).
- Tenure be denied.

(e) **For Promotion to Associate Professor:**

- Promotion be granted.
- Promotion be denied.

(f) **For Promotion to Full Professor:**

- Promotion be granted.
- Promotion be denied.

- (g) The committee chairperson will submit the list of candidates to the appropriate Dean(s) together with for each candidate a *curriculum vitae* and the complete dossier, an evaluation of each of the categories identified in the relevant university criteria and the approved standards developed by unit(s) for tenure and/or promotion, and the Departmental Tenure and Promotion Committee's vote and recommendation by November 15.

- (h) Once the appropriate committee has made its recommendation, the chairperson of the committee shall so advise the candidate in writing within two weeks. In the case of a recommendation against tenure and/or promotion the written communication will indicate to the candidate how they did not meet the relevant university criteria as explicated by the approved unit standards. In the case of a deferral of tenure and/or promotion, the written communication will indicate to the candidate the area or areas of performance the committee would expect evidence of further development before recommending in favour of tenure and/or promotion. A candidate may at this time submit additional information to the Dean(s) if s/he believes his/her case not to have been adequately represented.
- (i) Up to two weeks prior to the commencement of the meetings of the UPC where the candidate is being considered, the candidate shall have the right to add material not previously available. Prior to the commencement of the meetings of the UPC, the candidate shall have the right to transmit information to his/her Dean about acceptance of publications, awards and successful grant applications that were not included at the time of the original submission of the vitae.
- (j) **Procedure for Cross-Appointed Faculty Members**
  - (i) In the case of cross-appointed faculty members the following procedures apply:
  - (ii) Where the appointment is more than 50% in one Faculty (the 'majority faculty'), the joint departmental committee shall be constituted in accordance with the following:
    - (1) Where the appointment is more than 50% in one department (the 'majority department'), the joint Departmental Tenure and Promotion Committee shall have membership proportional to the weighting of the cross-appointment, and shall be chaired by a member of the majority department. The Committee shall make its recommendation to the Faculty Tenure and Promotion Committee of the majority Faculty.
    - (2) Where the appointment is divided equally between two units, the joint Departmental Tenure and Promotion Committee shall be representative of each of the pertinent departments (or equivalent) and shall be comprised of the chairperson of each of the appropriate committees and at least one (1) other representative from each of the departments (or equivalent). The Dean of the majority Faculty shall designate a chairperson who shall be responsible for forwarding a written recommendation together with supporting evidence to the Faculty Tenure and Promotion Committee of the majority Faculty.

- (iii) Where the appointment is divided equally between two Faculties, the employee seeking tenure and/or promotion shall designate his/her “home Faculty.” The joint Departmental Tenure and Promotion Committee shall be representative of each of the pertinent departments (or equivalent) and shall be comprised of the chairperson of each of the appropriate committees and at least one (1) other representative from each of the departments (or equivalent). The appropriate Deans shall designate a chairperson who shall be responsible for forwarding a written recommendation together with supporting evidence to the “home Faculty” Tenure and Promotion Committee.
- (iv) In the case of cross-appointed faculty members, the approved unit standards of the “home” or “majority” unit will be used to assess performance in meeting the approved unit standards, although contributions that meet the approved unit standards of the other unit or units will be seriously considered when reaching a final vote.

(k) **Procedures for the Sprott School of Business**

- (i) Unless the Sprott School of Business establishes departments within the Faculty, tenure and promotion applications will be dealt with by a Faculty-wide Tenure and Promotion Committee that shall consist of the Dean, who shall act as chairperson, and at least six (6) other faculty members at the rank of Associate Professor or above, and it shall be as representative as possible of the areas of interest and diversity in the School. A majority of the committee shall be tenured faculty at the rank of Associate Professor or above. This committee shall take on the combined roles of the Unit level and Faculty level committees as described in this “Article” and this combination shall not be interpreted in any way so as to deny a candidate a right they would have from either or both of those two committees in the normal procedures described in this “Article.”
- (ii) The Committee shall prepare a statement, signed by all the Committee members, of its recommendation and the reasons for it. Any disagreement within the Committee concerning its recommendation shall also be described in the statement. For each candidate, the recommendation, together with the *curriculum vitae* and the complete dossier, an evaluation of each of the categories identified in the criteria for tenure and promotion, and the Faculty Tenure and Promotion Committee's vote and recommendation, shall be made to the University Tenure and Promotion Committee. If a faculty employee applies for tenure and promotion in their fifth or sixth year of service and at the unit level Tenure and Promotion committee there is a negative decision, the candidate may withdraw his/her application without prejudice.

- (iii) All other tenure and promotion procedures and criteria shall apply.
- (iv) A candidate may at this time submit additional information to the Dean(s) if s/he believes his/her case not to have been adequately represented. This is the final time, prior to the appeal processes at which any new information can be added to the file during the entirety of the review process.
- (v) The procedures described in 10.6(k)((i) – (v)) shall remain in force until such time as a parity committee of four people established through JCAA within thirty (30) days of the ratification of this Collective Agreement. This committee shall develop language for the procedures for tenure and promotion in the Sprott School of Business that are consistent with this Collective Agreement. The committee shall report to JCAA by May 1, 2013.

### **10.7 Faculty Tenure and Promotion Committees**

- (a) By November 15 of each year, each Dean shall establish a Faculty Tenure and Promotion Committee (FTPC) comprised as follows:
  - (i) The Dean who shall be the chairperson.
  - (ii) The chair/director of each sub-unit.
  - (iii) One (1) faculty member selected by the DTPC in each sub-unit.
  - (iv) Up to three additional members appointed by the Dean.
- (b) All letters of reference solicited become part of the candidate's official dossier and are considered by the Faculty Tenure and Promotion Committee.
- (c) All voting shall be by secret ballot. Abstentions, blank or spoiled ballots do not count for or against the candidate. The chairperson shall keep a record of the number of votes cast for and against each candidate, and the reasons for any no votes or abstentions. In the event of an appeal the candidate concerned shall be informed of the vote on his/her candidacy. The appropriate committee shall vote and make one of the following recommendations:
- (d) **For Tenure and Promotion to Associate Professor:**
  - Tenure and promotion be granted.
  - Tenure and promotion be denied.
  - Tenure granted and promotion denied

- Promotion be granted and tenure be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure occur in the second year of the extension (this can only be granted to a candidate once).
- Tenure and Promotion be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure and promotion occur in the second year of the extension (this can only be granted to a candidate once).

(e) **For Associate and Full Professors Applying For Tenure:**

- Tenure be granted.
- Tenure be deferred and the preliminary appointment be renewed for two years and that reconsideration of tenure occur in either the first or second year of the extension (this can only be granted to a candidate once).
- Tenure be denied.

(f) **For Promotion to Associate Professor:**

- Promotion be granted.
- Promotion be denied.

(g) **For Promotion to Full Professor:**

- Promotion be granted.
- Promotion be denied.

(h) **Recommendations of the Faculty Tenure and Promotion Committee**

- (i) Recommendations for tenure only and for simultaneous consideration of tenure and/or promotion to Associate Professor shall be submitted to the Provost and Vice-President (Academic) by December 15.
- (ii) Recommendations for promotion only (whether to Associate Professor or Full Professor) shall be submitted to the Provost and Vice-President (Academic) as Chair of the University Promotion Committee by January 31.
- (iii) The findings of the committee along with the complete dossier (including

the letters from the referees) of each candidate are submitted to the Provost and Vice-President (Academic). Following consideration by the Faculty Committee, the Dean shall advise each candidate in writing, within one week, whether the Faculty Committee agrees or disagrees with the departmental recommendation. If the Faculty Committee disagrees with a positive departmental recommendation, the written communication shall indicate to the candidate at least in which area or areas of performance in relation to the relevant approved unit standards that the committee would expect as evidence of further development before recommending in favour of tenure and/or promotion.

- (iv) The Dean shall also write his or her own assessment of the candidate, and shall indicate whether or not he or she agrees with the recommendation of the Faculty Tenure and Promotion Committee. The Dean must consult the Faculty Tenure and Promotion Committee before adding his or her assessment to the dossier and cannot substitute his or her judgment for the recommendations of the Faculty Tenure and Promotion Committee. A copy of the Dean's assessment shall be provided to the candidate.
- (v) In the event of perceived deficiencies with respect to the approved unit standards for tenure, a candidate may not be denied tenure unless there have been annual pre-tenure reviews of performance as detailed in Article 10.1(c). If that has not been done, the candidate must be given an extension adequate to rectify the deficiencies before a final decision on tenure is taken.

### **10.8 University Promotions Committee**

- (a) The University Promotions Committee (UPC) consists of the Provost and Vice-President (Academic) as chairperson, eight (8) members to be chosen by the President and eight (8) full time faculty members holding the rank of Full Professor, distributed as follows:
  - Two members from the Faculty of Arts and Social Sciences
  - Two members from the Faculty of Public Affairs
  - Two members from the Faculty of Engineering & Design
  - One member from the Faculty of Science
  - One member from the Sprott School of Business

The latter eight members shall be elected by a vote of the tenured and tenure track employees of the respective Faculties.

Nominations shall be coordinated by Senate. All eligible candidates shall be informed of the dates and deadlines for this election. Faculty members chosen by the President are not eligible to run for these positions.

- (b) The President may attend as an observer during the meetings of this Committee.
- (c) An observer shall be appointed by CUASA to the University Promotions Committee.
- (d) The Dean of each Faculty shall present the cases of all the candidates from that Faculty to the University Promotions Committee.
- (e) All voting shall be by simple majority on a “yes” or “no” basis by secret ballot. Abstentions, blank or spoiled ballots do not count for or against the candidate. The Chair shall vote only in case of a tie. The UPC shall vote on each candidate and make one of the following recommendations:
  - (f) **For Promotion to Associate Professor:**
    - Promotion be granted.
    - Promotion be denied.
  - (g) **For Promotion to Full Professor:**
    - Promotion be granted.
    - Promotion be denied.
- (h) The chairperson shall keep a record of the number of votes cast for and against each candidate, and the reasons for any no votes or abstentions. In the event of an appeal the candidate concerned shall be informed of the vote on his/her candidacy.
- (i) **Recommendations of the UPC**
  - (i) The UPC will consider all recommendations emanating from the Faculty levels for promotion. By April 15 of each year, the UPC shall recommend for promotion to Associate Professor and Full Professor any candidate receiving a majority of the “yes” and “no” votes of those present at the consideration of that candidate and the Provost shall advise each candidate in writing of the decision by May 1. In the case of a recommendation against promotion the written communication shall indicate to the candidate at least in which area or areas of performance (in relation to the relevant unit approved standards) the Committee would expect evidence of

further development before recommending in favour of promotion. In order to enable a candidate to appeal, if s/he so wishes, the reasons for the decision to recommend against promotion shall be given in writing to the candidate.

- (ii) A candidate who is not promoted has recourse to the appeal procedures described herein.

(j) **Notification of University Decisions**

- (i) By February 20 the Provost and Vice-President (Academic) shall advise each candidate in writing of the tenure decision.
- (ii) The written communication shall indicate to the candidate how s/he failed to meet the relevant unit approved standards in order to enable a candidate to appeal, if s/he so wishes. When tenure is denied, the candidate's preliminary appointment will end on June 30 or after all appeals, grievance or arbitration processes under the Collective Agreement have been exhausted or two (2) years, whichever occurs first. The candidate will be offered a one-year non-renewable term appointment at the rank they held upon completion of the preliminary appointment.
- (iii) In the case of a decision to defer consideration of tenure, the written communication shall indicate at least in which area or areas of performance in relation to the relevant approved unit standards the candidate would be expected to demonstrate evidence of further development before reconsideration. Within one month of the decision to defer consideration of tenure, the candidate, the department Chair, and the Dean will meet to determine an appropriate and reasonable workload that will permit the candidate the opportunity to address the concerns identified in the deferral. The candidate has a right to have a CUASA representative present at such a meeting and this representative's participation shall be without prejudice.
- (iv) For decisions on promotion to Associate Professor or Full Professor: by May 1 the Provost and Vice-President (Academic) shall advise each candidate in writing of the decision.
- (v) In the case of a decision to deny promotion the written communication shall indicate to the candidate at least in which area or areas of performance the Committee would expect evidence of further development before recommending in favor of promotion in the future. In order to enable a candidate to appeal, if s/he so wishes, the reasons for the decision to deny promotion shall be given in writing to the candidate.

**10.9 Tenure and Promotions Appeal Committee**

- (a) Candidates receiving a decision, communicated by the Provost and Vice-President (Academic), to deny tenure and/or promotion may appeal the decision by making a written submission to the Tenure and Promotion Appeal Committee (TPAC) within fifteen (15) working days after receipt of the letter from the Provost and Vice-President (Academic).
- (b) Appeals may be based upon one or more of the following grounds:
  - (i) Procedural irregularity or failure to apply the tenure and promotion procedures; procedural grounds may include but are not limited to failure to ensure the integrity of appellant's dossier (for example, having anonymous material included in dossier), failure to provide the appellant with proper information regarding tenure or promotion criteria, failure to provide the appellant with regular annual reviews, and unduly large administrative service duties prior to tenure and promotion;
  - (ii) Discrimination within the meaning of Article 5 (No Discrimination Article);
  - (iii) A violation or violations of academic freedom within the meaning of Article 4 (Academic Freedom Article);
  - (iv) Substantive grounds based on the application and/or interpretation of any of the criteria for teaching, research, and service; substantive grounds may include but are not limited to improper weighting or discounting of scholarly activity and/or teaching in critical, marginal and/or new areas of specialization and their methods and/or sites of dissemination.
- (c) The TPAC shall be established by December 1 each year using the following procedures. By no later than October 30, Senate shall issue a call for nominations for membership on the TPAC. All CUASA faculty members at the rank of Associate or Full Professor shall be eligible for nomination. The ten (10) members (one delegate and one alternate from each of the five Faculties) shall be elected by the tenured and tenure track employees of the respective Faculties. At least one member from each Faculty shall be a Full Professor. For appeals of the denial of promotion to the rank of Full Professor the committee must be constituted of a majority of Full Professors.
- (d) The appellant may make an oral presentation to the TPAC in addition to the written submission. The candidate has a right to representation and advocacy from CUASA. Both parties may call witnesses. Both parties to the appeal must be present throughout and pertinent information shall be made available to both parties by the committee prior to the hearing. The Employer will report on the process and considerations that resulted in the denial of tenure or promotion. Then

the appellant or representative will lay out the grounds for the appeal of this decision. The appellant or representative and the representative of the university shall have an opportunity to ask questions of the other and any witnesses called and members of the TPAC shall have the opportunity to put questions. Once the two sides have presented, the TPAC has the right to request further submissions, oral or written, as it sees fit.

- (e) Where the appeal is based upon substantive grounds, academic freedom, discrimination, or teaching effectiveness, the TPAC shall reach a decision by majority vote. Where the appeal is based either in whole or in part upon anything other than teaching effectiveness, the TPAC may establish an external review committee. The external review committee shall be comprised of at least two external experts who hold the rank of Full Professor. The appellant shall provide the names of two (2) external experts, at least one of whom must be used. These external reviewers will be asked to review the file and make recommendations to the TPAC on the substantive merits of the appeal. The recommendations of the external review committee shall be shared with both parties.
- (f) The appellant shall have the right to enter new evidence that was not available at the time of the previous hearings (such as updates of the status of articles submitted for publication). The TPAC shall not accept any new evidence from the employer unless it is in response to new information raised by the appellant in his/her appeal. New material will be made available to all those making presentations as far in advance as possible and in any case not less than two full days before the hearing begins.
- (g) Both parties have a right to have an observer present throughout.
- (h) The TPAC shall reach a decision by majority vote.
- (i) The TPAC will select one of the following determinations, which shall be binding upon the parties (except as provided in Article 10.10 below regarding grievance and arbitration):
  - (i) Uphold the appeal on substantive grounds, academic freedom or discrimination and determine that the President grant tenure and/or promotion;
  - (ii) In the case of promotion, if the TPAC upholds the appeal on procedural grounds, the TPAC shall rule that the candidate be reconsidered by *denovo* committee

In the case of tenure, if the TPAC upholds the appeal on procedural grounds, the TPAC shall rule that the candidate be reconsidered by *denovo* committee.

If a *denovo* committee is required, the composition of two members appointed by CUASA and two members appointed by the Provost and a Chair agreed upon by both parties.

The decision of the *denovo* committee shall be final and binding.

- (iii) Reject the appeal and uphold the decision communicated by the Provost and Vice-President (Academic);
- (iv) In the case of an appeal of denial of tenure, the TPAC may determine that a deferral of consideration of tenure for up to two years be granted provided the limits described in Article 10.1(a)(vi) are respected.
- (j) The report of the TPAC to the President shall be accompanied by a written statement prepared by the Chair presenting the reasons for the determinations. A copy of the report shall be provided to the candidate. Normally the date for the completion of the report will be March 31 for cases involving tenure and May 31 for cases not involving tenure. However, where an external review committee is required for appeals based upon substantive grounds, these dates shall be extended as reasonably required for the external reviews to be completed and the TPAC to review those recommendations.
- (k) **President's Communication of the TPAC decision**
  - (i) Upon receipt of the determination of the TPAC, the President shall accept the determination and inform the candidate within fifteen (15) calendar days of receiving the written report of the TPAC.

#### **10.10 Grievance/Arbitration**

- (a) In the case of a decision to deny tenure and/or promotion, the candidate may consult with CUASA on whether or not the Association will grieve the decision.
- (b) A grievance may be filed by the employee or the Association only on one or more of the following grounds:
  - (i) Procedural irregularity or failure to apply the tenure and promotion procedures;
  - (ii) Discrimination within the meaning of Article 5 (No Discrimination); or
  - (iii) A violation or violations of academic freedom within the meaning of Article 4 (Academic Freedom).
- (c) A grievance cannot be filed on the basis of substantive grounds involving the application or interpretation of the criteria for tenure and/or promotion.

- (d) If CUASA decides to grieve the decision the grievance shall proceed directly to Arbitration. Expedited arbitration shall not be an option in the case of a grievance on tenure and/or promotion, and the choice of the arbitrator must follow the order of the roster in Article 30.12.

### **10.11 General Committee Rules**

- (a) Members must not serve on any Tenure and Promotion committee in any year in which they have applied for tenure and/or promotion.
- (b) Members of the Tenure and Promotion Committees at the Department, Faculty, and University levels cannot serve on the TPAC in the same academic year.
- (c) The Presidential Officers of the Association and the CUASA Grievance Chair shall not serve on any DTPC, FTPC, UPC or TPAC.
- (d) Any person taking part in the assessment of a candidate will disclose any relationship which could be a cause for a conflict of interest. The Committee shall determine whether or not the relationship constitutes a conflict of interest. In such decisions, the Committee will err on the side of caution. A person may request that a conflict of interest decision be made by JCAA.
- (e) All committees established as part of the tenure and promotion review process must have at least one male and one female member and reasonable efforts shall be made to seek diversity on the committees to reflect the academic community they are representing.
- (f) In any meeting between a candidate and any Tenure and Promotion Committee, Chairperson (or equivalent) or Dean, involving tenure or promotion, the member may have a representative of CUASA present.
- (g) A faculty member hired before the ratification of this language may choose which tenure and promotion procedures apply to them.
- (h) All participants in the tenure and promotion review process, including members of review committees, academic administrators, and observers and representatives of CUASA, shall be bound by the confidentiality of the proceedings and procedures of the tenure and promotion review process.
- (i) An observer nominated by the Carleton University Academic Staff Association may be invited to attend any meeting of any level Committee to which any candidate is invited if the Committee or the candidate so requests.
- (j) Other than described herein, there shall be no restriction on the operation of established tenure policies and procedures. Establishment of a fixed proportion of

tenured to non-tenured faculty shall be considered such a restriction.

- (k) The procedures set out in this document are designed to ensure that the decision will be rendered by an impartial body which has no interest either in the silencing of unwelcome opinions or in the protection of incompetence or neglect.

## **10.12 Professional Librarian Promotions**

There shall be four ranks for professional librarian employees at Carleton University: Librarian I, Librarian II, Librarian III and Librarian IV. These ranks reflect individual levels of professional achievement and are independent of any scheme for the assignment of responsibilities.

### **(a) Criteria for Librarian Promotions**

- (i) **Librarian I.** The rank of Librarian I shall be an introductory rank reserved for library school graduates with no professional experience. A professional librarian employee appointed to the Librarian I rank shall hold either a preliminary or term appointment and shall normally serve in that rank for the period of one (1) year.
- (ii) **Librarian II.** To qualify for appointment or promotion to the rank of Librarian II, the candidate shall have met the minimum educational requirement and shall have at least one year's professional experience or equivalent. As a primary criterion for appointment or promotion to this rank, a candidate shall have a record of successful performance as a librarian. Performance shall be assessed with respect to the candidate's achievement of goals which have been mutually established between the candidate and the candidate's supervisor(s), and those duties documented in a job description. It is expected that successful candidates will have demonstrated the ability to use effectively their professional education and will have shown the capacity to develop and extend their professional expertise.
- (iii) **Librarian III.** A librarian may not normally be considered for appointment or promotion to the rank of Librarian III until he/she has had a minimum of five (5) years experience as a Librarian II, or has had equivalent experience. Time is a factor that enters into the evaluation of a candidate's status. The Peer Evaluation Committee, Library Rank Promotion Committee, University Librarian (hereinafter called the Library) may recommend accelerating the unusually gifted member, whose professional performance and achievement in at least two (2) of the other areas listed below are considered by the Library to be significantly above his/her peers at the same stage of career. If evidence of continuing effective performance is not forthcoming, the Library may recommend that the candidate's consideration for promotion be delayed beyond the

normal time. Upon the decision in favour of promotion, the promotion shall become effective on the July 1st immediately after the consideration process as set out in Article 10.7 has terminated. The primary criterion shall be professional performance; how well the librarian carries out the duties and responsibilities of the position held. Therefore, the successful candidate shall have a record of continuing effective performance. Performance shall be assessed with respect to the candidate's achievement of goals which have been mutually established between the candidate and the candidate's supervisor(s), and those duties documented in a job description. There should be clear promise of continuing professional development and demonstrated ability in areas of specialization and/or in an administrative capacity. With less weighting, the candidate's performance in the following three areas should also be considered: academic achievement and activities, including additional formal degrees, programmes of continuing education, teaching, research, publication; involvement in professional activities and participation in professional organizations, including serving on committees, the presentation of papers, organization of and participation in conferences, seminars, workshops; service to the Library and/or the University. For promotion to the rank of Librarian III, a candidate must demonstrate achievement in one of the three areas.

- (iv) **Librarian IV.** A librarian may not normally be considered for appointment or promotion to the rank of Librarian IV until he/she has had a minimum of five (5) years experience as a Librarian III, or has had equivalent experience. Time is a factor that enters into the evaluation of a candidate's status. Promotion to this rank is jealously guarded in most institutions and deviations from the normal timing will of necessity be scrutinized extremely carefully by the Peer Evaluation Committee, Library Rank Promotion Committee, University Librarian (hereinafter called the Library). The Library may recommend accelerating the unusually gifted member, whose professional performance and achievement in at least three (3) of the other areas listed below are considered by the Library to be significantly above his/her peers at the same stage of career. If evidence of excellent performance is not forthcoming, the Library may recommend that the candidate's consideration for promotion be delayed beyond the normal time. Upon the decision in favour of promotion, the promotion shall become effective on the July 1st immediately after the consideration process as set out in Article 10.7 has terminated. The primary criterion shall be professional performance; how well the librarian carries out the duties and responsibilities of the position held. Therefore, the successful candidate shall have a record of excellent performance with demonstrated initiative, leadership and creativity. Performance shall be assessed with respect to the candidate's achievement of goals which have been mutually established between the candidate and the candidate's supervisor(s), and those duties documented in a job description. There should be evidence of

further development and extension of professional expertise. In addition, the candidate must submit evidence of substantial achievement in at least two of the following areas: research, publishing, teaching, professional endeavours including significant involvement in professional organizations, significant service to the library or the University, or significant administrative duties.

(b) **Procedures for Librarian Promotions**

- (i) By October 1 of each year, the Office of the University Librarian shall prepare for the chairperson of the Peer Evaluation Committee a list of professional librarian employees who should be automatically considered for promotion and shall send to each eligible employee a letter indicating that his/her name has been forwarded to the Peer Evaluation Committee for consideration for promotion.
- (ii) By October 1st of each year, the Peer Evaluation Committee shall email to members and publicly post the timetable for promotion proceedings.
- (iii) Unless the professional librarian employee requests in a letter to the chairperson of the Peer Evaluation Committee that s/he not be considered for promotion, each employee shall automatically be considered for promotion in the years specified as normally appropriate in Article 10.7(a). In the case of promotion to Librarian IV, a professional librarian employee shall be automatically considered when first eligible; thereafter, promotion proceedings are always initiated by the individual employee.
- (iv) Unless a candidate who is not recommended by the Peer Evaluation Committee indicates in writing to the chairperson of the Peer Evaluation Committee a desire not to be considered further, s/he shall be reconsidered automatically by the Library Rank Promotion Committee.
- (v) For each candidate, the Peer Evaluation Committee shall assemble a file containing the following documentation:
  - (1) a current *c.v.* supplied by the candidate;
  - (2) a letter of reference supplied by the candidate's department head(s) or equivalent;
  - (3) copies of the candidate's annual performance appraisals for the period since the last promotion or since appointment as appropriate;
  - (4) a current job description for the position held and, if applicable, for previous positions held in the period under review; and,

- (5) except in the case of promotion to Librarian II, a list of three (3) or more names supplied by the candidate to be used as referees. For promotion to Librarian IV, normally at least one (1) of the names shall be that of an individual external to the library.
- (vi) The University Librarian shall solicit letters from two (2) referees chosen from the candidate's list. If the University Librarian desires to solicit additional references or assessments he/she shall so inform the candidate and submit the names of the proposed referees to the candidate who shall have the right to comment in writing on the names suggested and to have such comments included in his/her official dossier as stated in Article 16.8(a) and (b).
- (vii) The Peer Evaluation Committee shall consider all documentation and may interview the immediate supervisor to obtain clarification on any point. If the Committee or the University Librarian desires to solicit additional written references to support the application, they shall act in accordance with Article 16.8 of the Collective Agreement. All letters of reference solicited in relation to promotion shall become part of the candidate's official dossier for the purposes of the promotion proceedings only. All such letters shall be available to the Peer Evaluation Committee.
- (viii) The Peer Evaluation Committee shall make a written recommendation and submit the dossier for each candidate going forward to the Library Rank Promotion Committee by March 15 of each year. If the Peer Evaluation Committee proposes to recommend against promotion, it shall, before making a formal recommendation, notify the candidate of its tentative decision and invite the candidate to comment on the proposed recommendation. Upon request, the Peer Evaluation Committee shall furnish the candidate with a written statement of the reasons for the proposed negative recommendation. Such written communication shall indicate to the candidate at least in which area or areas of performance the Peer Evaluation Committee would expect evidence of further development before recommending in favour of promotion. The candidate shall have the right to meet with the Peer Evaluation Committee to discuss these reasons and/or to submit a response in writing before the recommendation is formally made. If the final recommendation is negative, the candidate shall be informed in writing. Any written statement provided by the candidate shall be added to his/her dossier.
- (ix) In every instance where the Committee is unable to reach a unanimous recommendation, a statement of the recommendation signed by each committee member, which shall include a description of any disagreement within the committee concerning its recommendation, shall be forwarded to the Library Rank Promotion Committee.

(c) **Library Rank Promotion Committee Procedures**

- (i) The chairperson of the Peer Evaluation Committee shall forward to the Library Rank Promotion Committee the documentation for each candidate to be considered by the Library Rank Promotion Committee. The documentation shall include the complete dossier together with a written submission from the Peer Evaluation Committee.
  - (ii) The chairperson of the Peer Evaluation Committee shall present the cases of all the candidates to the Library Rank Promotion Committee.
  - (iii) The Library Rank Promotion Committee shall consider for promotion each candidate on evidence presented. If the Library Rank Promotion Committee proposes to recommend against promotion it shall, before making a final recommendation, notify the candidate of its tentative decision and invite the candidate to comment on the proposed recommendation. The candidate shall have the right to meet with the Library Rank Promotion Committee to discuss these reasons and/or to submit a response in writing before the recommendation is formally made to the President.
  - (iv) The University Librarian, as chairperson of the Committee, shall maintain a record of the results of the balloting and the recommendations of the Committee and shall make these known to all members of the Committee present at the time and other members, if any, within five (5) working days thereafter.
  - (v) The Library Rank Promotion Committee shall recommend for promotion to the President by April 15 of each year those candidates receiving a majority of votes cast.
  - (vi) In the case of recommendations against promotion, the Library Rank Promotion Committee shall indicate in writing to the candidate at least in which area or areas of performance the Committee would expect evidence of further development before recommending in favour of promotion.
- (d) A candidate not recommended by the appropriate committee or promoted by the Board of Governors has recourse to the procedures under Article 30 or 10.5 as appropriate.
- (e) The President shall recommend to the Board of Governors by May 31 only those candidates who were approved by the Library Rank Promotion Committee.
- (f) The successful candidate(s) shall be notified by June 1.
- (g) All promotions shall be posted in the Library and appear in an appropriate

publication of the University.

### **10.13 Instructor Promotions**

#### **(a) Instructor Rank Promotion Procedures**

- (i) Instructor employees shall be considered first by the departmental promotion committee, or equivalent, established under Article 10.2(a). When any Instructor employee is being considered, an Instructor employee other than the employee under consideration shall be added as a member of the committee and shall remain a member for all consideration of the Instructor employee in question. Where a department has only one (1) Instructor employee, an observer from the same faculty as the Instructor shall be named by the Association and shall be present for all consideration of the Instructor employee. Such an observer may divulge matters relating to the deliberations of the committee only to higher level committees, the Grievance Sub-Committee or an arbitrator in the event of an appeal. Instructor employees shall cooperate with the decision-making bodies at the departmental, faculty and University level in providing information relevant to their candidacies.
- (ii) The departmental committee or equivalent shall make a recommendation, and provide reasonable supporting evidence to the appropriate faculty promotion committee, which shall make a recommendation, and provide reasonable supporting evidence to the appropriate dean, who shall make the decision whether or not to promote the Instructor employee in question.
- (iii) The dean shall communicate his/her decision in writing to the Instructor employee in question prior to April 1. Where the decision is unfavourable, the dean shall give his/her reasons in writing to the Instructor employee. The written communication shall indicate to the Instructor employee at least in which area or areas of performance the dean would expect evidence of further development before deciding in favour of promotion, and in order to assist the Instructor employee to appeal, if he/she so wishes, the reasons for the decision shall be given.
- (iv) A candidate not recommended by the appropriate committee or promoted by the Board of Governors has recourse to the procedures under Article 30 or 10.5 as appropriate.

#### **(b) Criteria for Promotion of Instructor Employees**

- (i) Consideration for promotion from Instructor I to Instructor II shall be automatic in the employee's third year of service.

- (ii) Consideration for promotion from Instructor II to Instructor III shall be automatic in the employee's fourth year in the Instructor II rank.
- (iii) Outside of this schedule for automatic consideration, an Instructor employee will only be considered for promotion if he/she so requests in writing to the chairperson (or equivalent) of his/her department by October 30 of the year in which he/she wishes to be considered.
- (iv) For promotion to Instructor II, teaching effectiveness at the norm defined in Article 12.2(f) shall be sufficient unless there is evidence of seriously deficient performance in other assigned areas of responsibility. Where there is such evidence, teaching effectiveness which is well above the norm shall compensate.
- (v) For promotion to Instructor III, normally teaching effectiveness, level of professional development, and conscientiousness in the performance of assigned non-teaching duties shall all be at or above the norm defined in Article 12.2(f). However, teaching effectiveness which is well above the norm may compensate for achievement somewhat below the norm in the other two (2) areas.