

**EMPLOYER Proposals:**

**COLLECTIVE BARGAINING**

**BETWEEN**

**CARLETON UNIVERSITY**

**AND**

**CARLETON UNIVERSITY ACADEMIC STAFF  
ASSOCIATION**

16 June 2014

## 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.~~ 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.~~ 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.

- (a)(a) ~~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~~ 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 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 are subject to a two-person peer review by tenured Carleton 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. Every seven (7) years the unit must review their approved standards. If they decide to revise the approved standards, the procedure for approval shall be the same as above. 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. Every seven (7) years the unit must review their approved standards. If they decide to revise the approved standards, the procedure for approval shall be the same as above.

~~(b) 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 the 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.~~

~~(b) 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.~~

(b) 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.