

Carleton University ~~Academic Staff Association~~'s

**Bargaining Proposal for**

**Tenure and Promotion Contract Language**

**with**

~~The~~ The Carleton University Academic Staff Association  
~~Academic Staff Association~~

**August 09, 2012**

## xx Tenure and Promotion for Faculty Employees

### 1. Appointments without Tenure

- 1.A. An appointment without tenure shall be made as a term appointment, ~~a preliminary appointment at the rank of lecturer,~~ or a preliminary (tenure-track) appointment at the rank of **Lecturer**, Assistant Professor, Associate Professor or Full Professor.
- 1.A.I. 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 tenure. ~~a preliminary (tenure-track) appointment; in any case successive term appointments must not exceed a period of six years.~~ **In any case successive term appointments must not exceed a period of six years.**
- 1.A.II. A preliminary ~~(tenure-track) (tenure-track)~~ appointment at the rank of Lecturer is one made where there is a specific requirement, ~~to complete the such as the completion of a~~ to complete the doctoral degree ~~or the terminal degree for the discipline. or some other required credential or professional designation.~~ the terminal degree for the discipline: **or some other required credential or professional designation [subject to CUASAs counter language on this issue]**. Such requirements will be clearly stated in the letter of appointment. The length of a preliminary appointment as a lecturer shall be from one (1) to a maximum of three (3) years. If the requirement is successfully met, the appointment will be converted to ~~a preliminary (tenure-track) appointment at 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. -
- 1.A.III. 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 ~~six-~~ seven (~~6~~7) years, including any years served on a preliminary appointment at the rank of Lecturer (~~unless the member has chosen to assert their rights under Article I.A.II~~), but exclusive of extensions granted for other reasons, ~~such as parental leave and the duty to accommodate, and pursuant to relevant legislation (see Article 5).~~ and not counting periods of unpaid leave, from the date of the preliminary (tenure-track) appointment.

1.A.IV. 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), exclusive of any periods of parental leave, duty to accommodate, and not counting periods of unpaid leave from the date of appointment.—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.

1A. V Each faculty member in a preliminary appointment shall receive at minimum a half-credit course release from the unit teaching load in their first year of appointment.

1A.VI On commencing a preliminary (tenure track) appointment candidates will be provided a startup research grant as appropriate to the faculty member's discipline to assist in the eventual application for external funding.

#### 1.B. Mentorship and Review of Preliminary Faculty Members

1.B.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.

1.B.II. If the requirements, as stated in the letter of appointment pursuant to Article 1.A.II. of a preliminary appointment at the rank of Lecturer have been met prior to or at the end of the preliminary period appointment, a preliminary appointment at the rank of Lecturerthe 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), exclusive of any periods of parental leave, duty to accommodate, and not counting periods of unpaid leave from the date of appointment 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.

#### 1.C. Pre-Tenure Annual Review of Preliminary Faculty Members

- 1.C.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.
- 1.C.II. All faculty members on preliminary appointments shall submit a pre-tenure annual report that includes:
- (a) progress towards meeting the requirements of the appointment as stated in the letter of offer;
  - (b) performance and progress towards meeting the criteria for tenure and/or promotion; and
  - (c) 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.
- 1.C.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.
- 1.C.IV. A template shall be developed to facilitate these reviews and shall be approved by JCAA.
- 1.C.V. The Dean will sign the report and a copy will be placed in the ~~member's~~ employee's official file and may shall be included in the file used to assess the employee for tenure and promotion ~~at the discretion of the employee.~~
- 1.C.VI. With the permission of individual tenured faculty members, units shall maintain ~~Units shall keep~~ a catalogue of successful research and teaching dossiers and make these ~~-~~ available to all pre-tenure faculty employees for consultation. ~~members appointees when the faculty member employee agrees to permit their dossier to be so used.~~ The intention of this is to constructively assist candidates in putting together a dossier.

1.D. Tenure

1.D.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.

~~1.D.II. 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.~~  
~~NEEDS TO BE MOVED~~

1.D.III. 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., ~~except as described under the conditions of article 17~~

2. ~~Consideration for Tenure and Promotion to Associate Professor~~ 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 promotion at all levels.

~~2.B. University Criteria and Procedures for Tenure and Promotion to Associate Professor~~

2.B.I. Consideration for the awarding of tenure ~~and promotion to Associate Professor~~ shall be based on the following criteria:

- a. 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.
- b. Teaching Effectiveness – a ~~competent~~ **strong** 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).
- c. Research, Scholarly and/or Creative Work – a **record of successful and promise of continued strong and sustained record of** research, scholarship, and/or creative achievement **as appropriate for the field of expertise as evidenced by as defined in by the criteria 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.** ~~as defined in the criteria developed by the candidate's unit(s) including published work assessed by peer review, and other forms of scholarly productivity demonstrating the establishment of a successful career as a professor and established scholar at Carleton University. Candidates for tenure are expected to have applied for external research funding, and success in obtaining external grants, industrial research and development contracts shall be recognized.~~
- d. 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. ~~Excessive service shall mitigate deficiencies in teaching and research, scholarly and/or creative work.~~

- e. Where there is a significant record of service to society relevant to the mission of the university and the employee's disciplinary expertise, such as but not limited to extension activities; 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.

2.B.II. The application of the above criteria will be assessed within the context of Unit Guidelines approved unit standards developed in accordance with section 7 below.

34.B. University Criteria and Procedures for Promotion to Associate Professor

34.AB.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:

- a. 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.
- b. 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).
- c. 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 ~~criteria guidelines, including published work assessed by peer review, demonstrating a successful career as a professor and established scholar. Candidates for tenure and promotion to Associate Professor are expected to have applied for external research funding, and success in obtaining external grants, industrial research and development contracts shall be recognized.~~
- d. 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.

- e. Where there is a significant record of service to society relevant to the mission of the university and the employee's disciplinary expertise; such as extension activities; 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.

34.B.II. The application of the above criteria will be assessed within the context of Unit criteria Guidelines guidelines approved standards developed in accordance with section 5 below.



## 86. University Criteria for Promotion to Full Professor

96.B.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.

96.B.II. The criteria for assessing promotion to the rank of Full Professor are:

- a. 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).
- b. 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 criteria guidelines developed approved standards developed by the candidate's unit(s). Success in obtaining external grants, industrial research and development contracts shall also be recognized.
- c. 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 or the public stature of the University;
- d. Where there is a significant record of service to the profession and society relevant to the mission of the university and the employee's disciplinary expertise; such as but not limited to extension activities; 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 further the University's mission of service to society, this shall be recognized.

9.B.III. Only in rare and exceptional cases would a long record of highly significant and successful teaching combined with 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. (a return to the Employer language of June 20, 2012, and accepted by CUASA on July 3, 2012)

7. Unit Approved Standards Guidelines for the Application of the University Criteria for Tenure and Promotion to Associate Professor and Promotion to Full Professor:

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 guidelines 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 weighing of the unit approved standards guidelines 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 guidelines 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 guidelines. The purpose of the unit approved standards guidelines 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 guidelines. In developing unit approved standards, units shall consider the factors listed in Appendix A.

7.A. 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 vote of all tenured and tenure-track faculty in the unit/s a detailed specification of what would satisfy the above criteria for each of the levels: 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 guidelines are subject to a two-person peer review by tenured Carleton faculty members (with the rank of at least Associate Professor) from outside the unit and by JCAA. Upon the approval of JCAA, peer reviewers and the unit, the criteria shall be reviewed by the Dean and the Provost and Vice-President (Academic), if considered acceptable, shall be signed by the Dean. 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.

7. A II -This process shall be completed by the end of June 2013. Should a unit fail to complete the development of unit approved standards guidelines by that time, the relevant Faculty Dean shall develop approved standards guidelines for the unit that are consistent 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. Every seven (7) years the unit must review their Guidelines. If they decide to revise the Guidelines, the procedure for approval shall be the same as above.

#### Procedures for application for Tenure and Promotion to Associate Professor

82.A. 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 fourth fifth year of the preliminary appointment. 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 second third or third fourth 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 section 8.G. for the Sprott School of Business.

82.A.I. Simultaneous consideration for tenure and promotion is undertaken at the unit (the Department 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.

2.A.II. In all cases letters from external referees shall be available for consideration ~~for promotion to Associate Professor~~ for promotion to Associate Professor at the Faculty and University levels in accordance with the procedures specified at sections 2.B.III.; 3.B.III.; 4.B.III.; or 6.B.IV. as applicable.

3B.III. Each candidate for ~~tenure and~~ 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.

- . (a) 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.
- . (b) The Dean shall provide each referee with the candidate's dossier, along with the criteria for promotion as described in section <xxx> and the guidelines 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.
- . (c) External referee letters shall comment on candidate performance in research and scholarly and/or creative activity in relation to the University criteria and to the guidelines approved standards developed by the candidate's unit(s).
- . (d) 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.

5.A.4.B.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 section 1.C., teaching dossier including teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the unit university criteria and approved standards of the unit guidelines. The candidate has the right to discuss their dossier with the Chairperson of the DTPC before submitting it to the committee.

5. B4.B.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. At any appeal hearing the appellant may only introduce new material that was not available at the time of the previous hearings (such as updates of the status of articles submitted for publication).

#### Procedures for Promotion to Associate Professor.

64.A. 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.

64.A.I. 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.

3B.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.

(a) 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.

(b) The Dean shall provide each referee with the candidate's dossier, along with the university criteria for promotion as described in section ~~3.B.I~~ and the guidelines 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.

(c) External referee letters shall comment on candidate performance in research and scholarly and/or creative activity in relation to the University criteria and to the guidelines- approved standards developed by the candidate's unit(s).

(d) 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.

5.A.4.B.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 section 1.C., teaching dossier including teaching evaluations, copies of publications, and any additional materials to support the assessment of the candidate in meeting the unit university criteria and unit approved standardsguidelines. The candidate has the right to discuss their dossier with the Chairperson of the DTPC before submitting it to the committee.

5.B4.B.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. At any appeal hearing the appellant may only introduce new material that was not available at the time of the previous hearings (such as updates of the status of articles submitted for publication).

#### Procedures for Tenure for Associate and Full Professors.

3.A. 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.

~~3.A.I University criteria and unit guidelines for tenure for Associate and Full Professors shall be the same as they are for promotion to Associate Professor or Full Professor as appropriate.~~

3.A.I. 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.

3.B.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 Reports as referred to in section 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 DTPC before submitting it to the committee.

3.B.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. At any appeal hearing the appellant may only introduce new material that was not available at the time of the previous hearings (such as updates of the status of articles submitted for publication).

#### Procedures for Promotion to Full Professors.

86.A. 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.

86.A.I. 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.

96.B.IV. 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.

96.B.IV. (a) 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.

96.B.IV. (b) The Dean shall provide each referee with the candidate's dossier, along with the criteria for promotion as described in section 6-B-II<xxx> and the criteria/guidelines 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.

- 96.B.IV. (c) External referee letters shall comment on candidate performance in research and scholarly and/or creative activity ~~in relation to the criteria developed by the candidate's unit(s).~~ ~~in relation to the University criteria and to the guidelines 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.
- 96.B.IV. (d) The dossier must contain all letters received. The dossier ~~should normally must~~ 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.
- 96.B.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 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 ~~unit~~ university criteria and unit guidelines approved standards. The candidate has the right to discuss their dossier with the chairperson (or equivalent) before submitting it to the committee.
- 96.B.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. At any appeal hearing the appellant may introduce new material that was not available at the time of the previous hearings (such as updates of the status of articles submitted for publication).

## **710. Levels and Guidelines for Assessment**

- 710.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.
- 107.A.I. As described in section <<xx>>75, each academic unit at Carleton University will develop disciplinary specifications of how the ~~general~~ University criteria and approved unit standards in sections 2.B.I., 3.B.I., 4.B.I., and 6.B.II. are interpreted for their disciplines or fields of study.
- 107.A.II. There are three levels of assessment in the tenure and promotion process:



- a. The Departmental/Unit level assesses the candidate relative to the University criteria as explicated by and the approved unit guidelines standards ~~the unit(s) criteria~~ relative to the discipline and/or fields of the candidate. This is undertaken by the Department Tenure and Promotion Committee (DTPC).
- b. 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).
- c. 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(s) standard(s)-criteria/guidelines, 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).

## **118. Department/School Tenure and Promotion Committees**

**118.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.

**118.A.I.** 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. ~~If there are substantive questions that the dossier does not address, When the committee is considering a~~**

~~negative decision, the candidate shall be invited to meet with the committee to address its concerns. The member shall have the right to have with a CUASA representative present.~~ 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:

118.B. 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). In the case of duty to accommodate, the extension must be negotiated between CUASA and the employer. ~~[Withdrawn contingent on the employer accepting CUASA's revisions to Article 5.]~~
- ◆ 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). In the case of duty to accommodate, the extension must be negotiated between CUASA and the employer. ~~[Withdrawn contingent on the employer accepting CUASA's revisions to Article 5.]~~

118.C. 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 may only be granted to a candidate once).
- ◆ Tenure be denied.

118.D. For Promotion to Associate Professor:

- ◆ Promotion be granted.

- ◆ Promotion be denied.

811.E. For Promotion to Full Professor:

- ◆ Promotion be granted.
- ◆ Promotion be denied.

118.E.I. 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 unit university criteria as explicated by the and the approved standards developed by unit(s) guidelines for tenure and/or promotion, and the department Tenure and Promotion Committee's vote and recommendation by November 15.

118.E.II. 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- criteria standards guidelines. 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. ~~This is the final time, prior to any appeal processes at which any new information can be added to the file during the entirety of the review process. This is the final time, prior to any appeal processes at which any new information can be added to the file during the entirety of the review process.~~

118.F. Procedure for Cross-Appointed Faculty Members

118.F.I. In the case of cross-appointed faculty members the following procedures apply:

118.F.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:

- a. 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.

- b. Where the appointment is divided equally between two units, the joint department ~~tenure and promotion~~level 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.

118.F.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" ~~level~~Tenure and Promotion Committee.

118.F.IV. In the case of cross-appointed faculty members, the ~~approved u~~Unit standards ~~criteria~~guidelines Guidelines of the "home" or "majority" unit will be used to assess performance in meeting the ~~unit criteria~~approved unit standards, although contributions that meet the ~~approved unit standards u~~Unit guidelines of the other unit or units will be seriously considered when reaching a final vote.

118.G. Procedures for the Sprott School of Business

118.G.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."

118.G.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 fourth or fifth 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.

| **118.G.III.** All other tenure and promotion procedures and criteria shall apply.

| **118.G.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.

*The above highlighted section is reserved to think on -- Sprott School would like to be able to consult on having two level decision process –*

| **129. Faculty Tenure and Promotion Committees**

| **129.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.

~~At least eight (8) other faculty employees, unless all the members are elected by the appropriate Faculty Board, in which case, it may be less than eight (8), at the rank of Associate Professor or above and it shall be as representative as possible of the areas of interest in the Faculty.~~

| **129.A.I.** All letters of reference solicited **in relation to tenure and/or promotion** become part of the candidate's official dossier and are considered by the Faculty Tenure and Promotion Committee.

| **129.A.II.** 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:

129.B. 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). In the case of duty to accommodate, the extension must be negotiated between CUASA and the employer. [Withdrawn contingent on the employer accepting CUASA's revisions to Article 5.]
- ◆ 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). In the case of duty to accommodate, the extension must be negotiated between CUASA and the employer. [Withdrawn contingent on the employer accepting CUASA's revisions to Article 5.]

129.C. 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.

129.D. For Promotion to Associate Professor:

- ◆ Promotion be granted.
- ◆ Promotion be denied.

129.E. For Promotion to Full Professor:

- ◆ Promotion be granted.

- ◆ Promotion be denied.

**129.F. Recommendations of the Faculty Tenure and Promotion Committee**

**129.F.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.

**129.F.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.

**129.F.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 unit guidelines approved unit standards** that the committee would expect as evidence of further development before recommending in favour of tenure and/or promotion.

**129.F.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.

**129.E.I.** In the event of perceived deficiencies with respect to the **unit criteria guidelines 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 section 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.

**130. University Promotions Committee**

**130.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 ~~membersemployees~~ 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. All CUASA faculty members shall be entitled to vote for up to six (6) candidates.

13.A.I(a) The President may attend as an observer during the meetings of this Committee.

130.A.I. ~~At the University Tenure and Promotion Committee, An CUASA oObserver shall be appointed by CUASA to the University Promotions Committee. in accordance with Appendix <<xyz>>, the Memorandum of Agreement agreed between the University and CUASA in 2012.~~

130.A.II. The Dean of each Faculty shall present the cases of all the candidates from that Faculty to the University Promotions Committee.

130.A.III. 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:

130.B. For Promotion to Associate Professor:

- ◆ Promotion be granted.
- ◆ Promotion be denied.

130.C. For Promotion to Full Professor:

- ◆ Promotion be granted.
- ◆ Promotion be denied.



130.C.I. 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.

130.D. Recommendations of the UPC

130.D.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 ~~(where a candidate already has tenure)~~ 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 such recommendation shall be made to the President who~~ 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 criteria guidelines)~~ 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.

130.D.II. A candidate who is not promoted has recourse to the appeal procedures described herein.

140.E. Notification of University Decisions

140.E.I. By February 20 the Provost and Vice-President (Academic) shall advise each candidate in writing of the tenure decision.

140.E.II. The written communication shall indicate to the candidate how s/he failed to meet the relevant unit criteria approved standards guidelines 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 and legal proceedings have been exhausted under the Collective Agreement, and the candidate will be offered a one-year non-renewable term appointment at the the rank they held if appropriate rank upon completion of the preliminary appointment of Assistant Professor.

140.E.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 unit criteria guidelines 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.

- | 140.E.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.
- | 140.E.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

#### | 154. **Tenure and Promotions Appeal Committee**

- | 154.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).
- | 154.A.I. Appeals may be based upon ~~but not limited to~~ **but not limited to** one or more of the following grounds:
- | 154.A.II. 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.
- | 154.A.III. Discrimination within the meaning of Article 5 (No Discrimination Article);
- | 154.A.IV. A violation or violations of academic freedom within the meaning of Article 4 (Academic Freedom Article);
- | 154.A.V. 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.

- ~~154.B.IA.VI.~~ The TPAC ~~shall be is~~ established ~~by the Senate~~ by December 1 each year ~~through existing procedures with using~~ the following ~~amendmentsprocedures~~:
- ~~15 B II~~ 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 Associate or Full Professor** shall be eligible for nomination. [readdition of **Associate is a return to the Employer language of June 20, 2012, and accepted by CUASA on July 3, 2012]** ~~All CUASA faculty members shall be able to vote for up to five members of the TPAC.~~ The five ~~members (one from each Faculty)~~ shall be elected by the tenured and tenure track ~~members-employees~~ of the respective Faculties.
- ~~11.A.VII.~~ It shall consist of five members who shall be representative of the different Faculties. [a return to the Employer language of June 20, 2012, and accepted by CUASA on July 3, 2012]
- ~~11.A.VIII~~ It must have at least one male and one female member and reasonable effort shall be made to seek diversity on the committee. [a return to the Employer language of June 20, 2012, and accepted by CUASA on July 3, 2012]
- ~~11.A.IX.~~ It shall be comprised of tenured faculty members who hold the rank of either Associate or Full Professors. [a return to the Employer language of June 20, 2012, and accepted by CUASA on July 3, 2012]
- ~~15BV1.A.X.~~ The appellant may request to 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 eEmployerUniversity 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.
- ~~15BV1.A.XI.~~ Where the appeal is based upon substantive grounds based on teaching effectiveness, the TPAC shall reach a decision by majority vote. However, where the appeal is based either in whole or in part upon anything other than teaching effectiveness, and the appellant so wishes, and the appellant so wishes, the TPAC will shall 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. 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.

15BVII1.A.XII.— 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.

15BVIII1.A.XIII. Both parties have a right to have an observer present throughout.

15BIX1.A.XIV. The TPAC shall reach a decision by majority vote.

15BX1.A.XV. The TPAC will select one of the following determinations, which shall be binding upon the parties (except as provided in section 13 below regarding grievance and arbitration):

11.A.XVI. Uphold the appeal ~~on substantive grounds~~ on substantive grounds and determine that the President grant tenure and/or promotion:

~~11.A.XVII. In the case of promotion, if the TPAC upholds the appeal on procedural grounds, the TPAC may:~~

11.A.XVII In the case of promotion, if the TPAC upholds the appeal on procedural grounds, the TPAC may:

a. refer the matter back to the UPC for consideration or,

b. Rule that the candidate be reconsidered by *denovo* committee

~~refer the matter back to the UPC for consideration or,~~

~~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 may:~~

~~refer the matter back to the FTPC for consideration or,~~

~~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 may:

a. Refer the matter back to the FTPC for consideration or,

b. Rule that the candidate be reconsidered by *denovo* committee

If a *denovo* committee is required, the composition of it shall be determined by the TPAC in consultation with the Provost.

If a *denovo* committee is required, the composition of it shall be determined by the TPAC in consultation with the Provost.

41.A.XVIII: ii) Reject the appeal and uphold the decision communicated by the Provost and Vice-President (Academic);

15BXI4.A.XIX. In the case of an appeal of denial of tenure, and as long as the appellant has not been granted a previous deferral 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 1.A.III are respected.

15BXII4.A.XX. 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 will be provided to the candidate: and CUASA: and CUASA. 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 committees is are 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.

45BXIII4.A.XXI. If either party raises a legal challenge to the process or the substantive issues invokes legal counsel then the TPAC hearing is adjourned and employment shall continue until all the legal issues are resolved. If there are any legal issues that are beyond the scope of the TPAC, the hearing will be adjourned until these issues are resolved.

## **162. President's Communication of the TPAC decision**

162.A. 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.

## **173. Grievance/Arbitration**

137.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.

173.A.I. A grievance may be filed by the employee or the Association ~~only only~~ on one or more of the following alleged grounds ~~including but not limited to:~~ including but not limited to:

173.A.II. Procedural irregularity or failure to apply the tenure and promotion procedures;

173.A.III. Discrimination within the meaning of Article 5 (No Discrimination); ~~or or~~

173.A.IV. A violation or violations of academic freedom within the meaning of Article 4 (Academic Freedom);

~~17AV Duty to accommodate~~ duty to accommodate; or,

~~17AVI Reasonable apprehension of bias~~ reasonable apprehension of bias.

~~13.A.V. A grievance cannot be filed on the basis of substantive grounds involving the application or interpretation of the criteria for tenure and/or promotion. A grievance cannot be filed on the basis of substantive grounds involving the application or interpretation of the criteria for tenure and/or promotion.~~

173.A.VII. 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 ~~be acceptable to both parties.~~

~~13.A.VII. The Arbitrator will make one of the following decisions:~~

~~13.A.VIII. Dismiss the grievance and uphold the decision.;~~

~~13.A.IX. Determine that the grievance has merit but that the final decision was not affected by the matter, and uphold the decision.~~

~~13.A.X. Determine that the grievance has merit and the final decision was affected, in which case the arbitrator will identify the error or errors, give specific directions as to what is to be done on the reconsideration, and direct that the matter in question be reconsidered commencing at the level of consideration at which the error or errors occurred. In so ordering, the arbitrator will provide specific instructions to ensure that the circumstances which led to the grievance will be appropriately addressed.~~

~~13.A.XI. In the case of 13.A.X. above, the Arbitrator will remain seized of the case and will review the reconsideration of the case to ensure that it has been~~

carried out appropriately. If the arbitrator does not agree that the reconsideration was completed appropriately in accordance with the directions given, s/he may make a final decision that will be binding upon the parties.

13.A.VII. The Arbitrator will make one of the following decisions:

13.A.VIII. Dismiss the grievance and uphold the decision.:

13.A.IX. Determine that the grievance has merit but that the final decision was not affected by the matter, and uphold the decision.

13.A.X. Determine that the grievance has merit and the final decision was affected, in which case the arbitrator will identify the error or errors, give specific directions as to what is to be done on the reconsideration, and direct that the matter in question be reconsidered commencing at the level of consideration at which the error or errors occurred. In so ordering, the arbitrator will provide specific instructions to ensure that the circumstances which led to the grievance will be appropriately addressed.

13.A.XI. In the case of 13.A.X. above, the Arbitrator will remain seized of the case and will review the reconsideration of the case to ensure that it has been carried out appropriately. If the arbitrator does not agree that the reconsideration was completed appropriately in accordance with the directions given, s/he may make a final decision that will be binding upon the parties.

#### **184. General Committee Membership Rules and Other Regulations**

184.A. Faculty members will recuse themselves from voting on any file in which they served as a voting member at a lower level of review. [does this mean that the Chair/Director and departmental committee chair would not be able to vote at the faculty level committee or university promotion committee?]

148.A.I. Members must not serve on any Tenure and Promotion committee in any year in which they have applied for tenure and/or promotion.

184.A.II. Members of the Tenure and Promotion Committees at the Department, Faculty, and University levels cannot serve on the TPAC in the same academic year.

184.A.III. The President of the Association and the CUASA members of the Association's Grievance Chair and Grievance Officer(s) Committee shall not sit/serve on any DTPC, FTPC, UPC or TPAC.

~~14.A.IV. No officer of the Association or member of the Association's Steering Committee may serve as a member on the TPAG. [see section 72 of the Ontario Labour Relations Act]~~

184.A.IV. 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.

184.A.VI. 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.

184.A.VII. 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.

184.A.VIII. A faculty member hired before the ratification of this language may choose which tenure and promotion procedures apply to them. ~~Faculty members can only be considered for tenure and/or promotion under this language when unit criteria guidelines for their home unit has been established, and ratified by JCAA.~~

184.A.VIII~~X~~. All participants in the tenure and promotion review process, including members of review committees, academic administrators, ~~candidates, and observers and representatives of CUASA,~~ shall be bound by the **strict** confidentiality of the proceedings and procedures of the tenure and promotion review process.:

184.A.IX. 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.

184.A.XI. 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.

~~1.D.II. 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.~~



**Dismissal for Cause of Faculty Employees**

The procedures for dismissal for cause of faculty employees are described in the Dismissal Document (Appendix A) except as modified in Article 6.3 (i) and (ii) below:

~~6.3 (i) The parties agree that the practices and procedures laid down in the Senate/Board policies for faculty employees for the renewal of preliminary appointments, the granting of tenure, promotion, and dismissal for cause shall not be subject to the grievance procedure described in Article 30, except where the faculty employee or the Association alleges violation of Article 4 (Academic Freedom) or Article 5 (No Discrimination) of this Collective Agreement or where the faculty employee or the Association alleges that the procedures established under the existing Senate/board policies as amended by Article 6.2, were not applied;~~

and,

6.3 (ii) The parties agree that there shall be provision for an Alternate Review Chairperson, with the same powers and duties as those of the Review Chairperson specified in the *Dismissal Document*. The Alternate Review Chairperson shall, by agreement between the two parties, be called upon to act in place of the Review Chairperson when the latter's unavailability to begin a new case may be thought to prejudice the outcome or to impose undue hardship on the individual concerned or on the University. Agreement by one side to a request from the other to invite the Alternate Review Chairperson to act shall not be unreasonably withheld.

***Note that the above highlighted language is existing language from 6.2(c)***

[Article 10 Promotions shall be revised as follows]

**Article 10: Promotion of Professional Librarians and Instructor Employees**

Delete 10.1 to 10.6 inclusive.

Renumber 10.7 to 10.9 to be 10.1 to 10.3 respectively.

## **APPENDIX A: PROCEDURES FOR THE DISMISSAL WITH CAUSE OF FACULTY MEMBERS**

### Preamble

[Delete all of the Preamble except for the following]

This Appendix is referred to as the "Dismissal Document". "Dismissal" means the termination of an appointment by the University without the consent of the appointee before the end of a stated period or, in the case of appointments with tenure, before retirement. It follows that the failure to renew a contract of limited term does not constitute dismissal; that the decision not to grant tenure at the end of a probationary period does not constitute dismissal; that the termination, without consent, of a non-tenure appointment during the course of its term does constitute dismissal; and that the termination, without consent, of a tenured appointment at any time before retirement does constitute dismissal. This understanding of "dismissal" shall be subject to the following qualification: where an appointment is thus terminated because the University had decided that the post in question has become redundant, the faculty member so affected shall not be considered to have been dismissed.

[Delete Sections A and B, and renumber section C as 1 through 15.]

## **APPENDIX AB: GUIDELINES FOR TENURE AND PROMOTION**

~~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 to advocate changes which will make it a more favourable one, and 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.~~

~~It can be anticipated that from time to time cases will occur involving disputes between the university and the faculty member. Nor is it possible to formulate a set of rules or of criteria the mechanical operation of which will guarantee a simple and correct decision in every case.~~

~~For the purposes of this document, a faculty member is understood to be a person who holds a full-time teaching post under a letter of appointment from the President or Provost of the University.~~

~~For the purposes of this document, 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.~~

~~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 promotion 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 promotion at all levels.**

~~It is recognized that the evaluation of teaching performance is not easy. Effectiveness as a teacher should imply a concentrated and successful effort to create the best possible learning situation for students. It should involve continuing attention to course design and to alternative modes of presentation. A variety of means may be used to assess a candidate's development as a teacher. In addition to student evaluations at the course level, evaluation by established colleagues possibly using the agency of a departmental committee may also be used.~~

~~It is recognized that bibliometrics and publications metrics have an important role in assessing the quality and quantity of research but metrics and other quantitative measures must be assessed within the context of judgment by peers inside and outside the university.~~

~~Evidence of professional achievement can be evaluated in a manner similar to that for scholarship. Professional achievement may include contributions to professional or learned societies through service on the executive or other senior committees, and editorship of a journal. Of great importance and worth emphasizing are publications which may not result from original research but which advance the development of the profession or constitute valuable or creditable additions to the literature, service on government or other commissions in a professional capacity or consulting work which involves more than the routine application of the existing body of knowledge.~~

~~Contributions to the administration and development of his/her department or to the University must of necessity be based upon evaluation by peers and more senior members of faculty.~~

*Note that our goal is to propose to delete all of the above highlighted language, as our intention is to incorporate the spirit/intent of what this says into the new Article itself-- as was agreed from the outset. We leave it here, however, for the time being, recognizing that this is a "working document" that is under development and from both our parties*

## **APPENDIX B: Unit Standards for the Application of the Criteria for Tenure, Promotion to Associate Professor and Promotion to Full Professor**

B1. In addition to the mandatory items for consideration in a candidate's dossier, the development of relevant unit approved standards as per section 7 In developing the unit criteria, the committees shall consider factors including but not limited to:

(i) Evidence used to demonstrate the quality and effectiveness of teaching in support of an application for tenure or promotion may include, but is not limited to, the following items, with selection and weighting of the items as appropriate to the candidate's teaching activities:

(1) course work and all related activities;

(2) supervision of the work of graduate and undergraduate students at Carleton and other universities;

(3) contributions to seminars and colloquia relevant to teaching and learning;

(4) innovative methods in teaching and other contributions to the teaching activities of the University;

(v) written **and attributed** comments of colleagues who have observed the candidate's teaching first-hand and at the invitation of the candidate;

(5) written **and attributed** comments provided by colleagues regarding the candidate's reputation in the area of teaching and learning among peers and the basis for that reputation;

(6) written **and attributed** comments of students about the candidate's teaching;

(7) student requests to engage with the faculty member in undergraduate/graduate research or independent studies;

(8) additional material relevant to teaching and learning collected by the candidate on his/her own initiative including a statement of candidate's teaching philosophy, multimedia materials developed by the candidate, video recording of candidate's teaching or course activities, course notes, assignments, examinations, student workbooks and laboratory teaching materials (e.g. a teaching dossier); and,

(9) supervision of student practica and/or internships where specific professional credentials are required of the supervisor to allow students to obtain certification or licensure.

(ii) Evidence **appropriate to the discipline or field** used to demonstrate the originality and quality of research/scholarly activity or creative work in support of an application for tenure or promotion may include, but is not limited to, the following

items, with selection and weighting of the items as appropriate to the candidate's scholarship or creative work:

(1) the publication of books, case studies, monographs, and contributions to edited books;

- (2) papers in peer refereed journals;
- (3) the judgments of scholars through letters of reference, particularly of senior scholars in the same and cognate disciplines;
- (4) papers delivered at professional meetings;
- (5) contributions to panels, workshops, and clinics;
- (6) consulting with government, related professionals, and agencies, or preparation of instructional, clinical, curriculum or policy materials for such agencies;
- (7) editorial and refereeing duties;
- (8) the creation, performance, direction, programming, design, and staging of creative works for the public, or curation of exhibitions, particularly when recognized by competent external peers;
- (9) adjudicating festivals and competitions, master classes, consulting on curricula, workshops at the post-secondary level or with professional orchestras, choirs, theatres, galleries, or professional residencies;
- (10) the development of software, hardware or equipment;
- (11) scholarly contributions to pedagogy;
- (12) scholarly contributions to agencies, communities, governments, or organizations and the extent to which the faculty member's professional services are in demand by such organizations outside the University;
- (13) scholarship as evidenced by the candidate's depth and breadth of knowledge and general contributions to the research life of the University;
- (14) **attempting applications** to secure funding for research/scholarly and creative activities as appropriate for a discipline or field;
- (15) other publications demonstrating a high quality of scholarship with significant public impact;
- (16) external grants, industrial research and development contracts; and,
- (17) other evidence appropriate to the candidate's research/scholarship, creative work, and/or discipline.

(iii) Bibliometrics and publications metrics may be used to assess the quality of research but such metrics and other quantitative measures must be assessed within the context of judgment by peers inside and outside the university.

(iv) Although teaching and research/scholarly activities are the primary criteria for tenure and promotion decisions, evidence of other activities appropriate to the discipline or field, and service to the University and the CUASA may be used to strengthen a candidate's case. Such evidence may include, but is not limited to, the following items, with selection and weighting as appropriate to the candidate's chosen

activities:

(1) participation in University, Faculty, Departmental, Centre, Program and CUASA committees;

(2) counselling students;

(3) service in and recognition by regional, national and international committees and other organizations, including professional organizations

**(3.5) Community based teaching relevant to the discipline (i.e. extension activities);**

(4) general administrative duties and administrative duties unique to a candidate's Faculty;

(5) community service where the individual has made an essentially non-remunerative contribution by virtue of special academic competence; and,

(6) administrative and non-teaching/research responsibilities within the University and the CUASA.