

## Article 14: Reappointment, Promotion, Evaluation and Review of Regular Members

### 14.01 GENERAL CRITERIA

- a) This article sets out general criteria for application on a University-wide basis. In addition, each Dean, after appropriate consultation, may adapt these criteria in a manner appropriate and reasonable to the particular academic area. In particular, each Dean, after consultation, shall specify whether supervision of student research is to be considered as teaching or research. In all such cases the Dean shall inform all faculty members in writing within a reasonable period of time, before such specification takes effect.
- b) The evaluation of full-time faculty shall be based upon the consideration of professional competence and potential for fulfilling academic responsibilities as defined in Article 16.
- c) The evaluation of teaching shall be done by the faculty member's colleagues on the basis of all evidence of teaching effectiveness presented by the faculty member in a teaching dossier.
- d) The teaching dossier shall include the following:
  - i) a list of undergraduate and graduate courses, including directed studies taught by the member and, if specified by the Dean as teaching under the provisions of Article 14.01 a), thesis and other student research supervisions undertaken by the member;
  - ii) examples of course outlines, assignments, final examinations or other materials the member deems appropriate;
  - iii) all aggregate statistical information generated from teaching evaluation questionnaires specified in Article 14.01 f) for each course taught during the period under evaluation.
- e) The teaching dossier may also include, but is not restricted to, the following:
  - i) a record of the member's role in curriculum innovation and instructional development such as administrative and committee service for the academic unit, Faculty, or Senate related to pedagogy, and including directing and coordinating programs, guest lectures, and other presentations;
  - ii) a record of the member's special contribution to teaching including teaching awards, publications and presentations, instructional development grants, participation in conferences and seminars on education/pedagogy, and other such evidence as the member deems appropriate;

- iii) signed letters and testimonials from students;
  - iv) a statement of the member's objectives and methods of teaching, including reference to institutional and academic unit teaching goals.
- f) A teaching evaluation questionnaire approved by the relevant Faculty Council shall be administered in all courses. The Provost and the President of CUFA shall agree on four questions common to all student evaluation questionnaires.
- g) Before the adoption of on-line course evaluations in a Faculty, the Dean shall consult Faculty Council.
- h) The Employer shall endeavour to ensure that anonymity and confidentiality are maintained in the administration of course evaluations.
- i) The evaluation of research shall depend primarily on the judgment of the faculty member's disciplinary peers, and shall be made on the basis of evidence of scholarship such as publications, presentations of papers, exhibitions, performances, patents, copyrights, external recognition, grants, contracts and other awards and, if appropriate (see Article 14.01 a)), thesis and other student research supervision undertaken by the member, as presented by the faculty member in a research dossier. In this evaluation, more weight shall be given to peer-reviewed than to non-peer-reviewed work, to the extent appropriate to the discipline.
- j) The evaluation of service to the University and the community, including participation in University governance and academic administration, service to the Association and the professional and academic community, shall depend primarily on the judgment of the faculty member's colleagues, and shall take into account evidence of such activities as presented by the faculty member in a service dossier.
- k) The complete dossier consists of a current *curriculum vitae* and all three component parts: the teaching dossier (Article 14.01 c), d) and e) and f)), the research dossier (Article 14.01 i)), and the service dossier (Article 14.01 j)), with the proviso that ETA members shall not be required to submit a research dossier. Preparation of a digital version of the dossier is the responsibility of the Employer, unless the member chooses to prepare it in accordance with prescribed guidelines. When the Employer prepares the digital dossier, the member shall ensure that she or he is satisfied with its contents.
- l) The academic unit head shall ensure that the dossier contains:
- i) In the case of probationary members, reports produced in the course of the most recent reappointment exercise;
  - ii) In the case of tenured and ETA members with a five (5) year contract, reports produced in the course of the most recent performance evaluation.

In the context of this clause, "reports" shall mean reasoned reports, recommendations and decisions issued by the DPC, FPTC, Dean, and Provost, as applicable.

- m) The academic unit head and the Dean may supplement the dossier submitted by the candidate with relevant information at the start of the DPC stage of the proceedings. In this instance, the candidate shall be informed of the nature of this information, shall receive copies of all supplemental documentation and shall have five (5) days to provide any commentary relevant to this supplementary information. If the candidate subsequently sends additional information to the FPTC, a copy shall be sent to the DPC.
- n) The evaluation of members holding a joint or cross appointment shall be conducted by the primary unit, which shall seek input from the secondary unit or units.

#### 14.02 EVALUATION OF PROBATIONARY AND NOMINALLY TENURED FACULTY MEMBERS FOR THE PURPOSE OF REAPPOINTMENT

- a) Reappointments for probationary members shall be for a period of two (2) years terminating on May 31. In the case of probationary members the contract shall not extend more than one year beyond the year of mandatory tenure consideration. Candidates who are not granted tenure as a result of mandatory consideration under the provisions of Article 18 and whose contracts expire at the end of the year of mandatory tenure consideration shall be offered a one-year, non-renewable, final contract.

Reappointments for nominally tenured faculty members shall be for a period of one (1) year terminating on May 31.

- b) A member who has been on a leave in accordance with Article 33 or 35 for at least six (6) consecutive months during the period being evaluated shall have the option of being considered for reappointment the following year. Should the member exercise this option, the probationary appointment shall be extended for one year.
- c) A member who, at the application deadline, is on a leave in accordance with Article 33 or 35 of not less than forty-five (45) days shall have the option of being considered for reappointment the following year.
- d) The evaluation shall pay particular attention to the quality of the candidate's teaching, research activities, and publications as well as potential. In addition, the candidate's participation in the life of the University and the Community as specified in 16.01 c) shall be considered.
- e) A faculty member who is a candidate for evaluation for reappointment is expected to have fulfilled any special conditions in the previous contract.

- f) In the case of probationary appointments specifically indicated as having been made in a new program, the continuation of the position itself may be a criterion for renewal only within five (5) years of the year in which students were first enrolled in the program. The faculty member shall be so informed prior to appointment.
- g) In the case of a reappointment of a nominally tenured member, she or he is expected to address the status of his or her application for Permanent Residency only.

#### 14.03 PROMOTION OF PROBATIONARY FACULTY MEMBERS FROM LECTURER TO ASSISTANT PROFESSOR

A probationary faculty member appointed at the rank of Lecturer shall be automatically promoted to the rank of Assistant Professor following completion of all requirements for the terminal degree and placed on the salary grid in accordance with the following provisions:

- a) the date of promotion from Lecturer to Assistant Professor shall be retroactive to the start date of the contract provided that the date of completion of all requirements of the terminal degree occurs within six (6) months of that date; otherwise, the promotion shall occur on the date of completion of all requirements of the terminal degree.
- b) promotion shall be granted on the basis of a letter from the university that awarded the terminal degree formally attesting to the date of completion of all requirements.

#### 14.04 PROMOTION FROM ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR

Upon the granting of tenure, faculty members who hold the rank of Assistant Professor shall be promoted to the rank of Associate Professor.

#### 14.05 PROMOTION FROM ASSOCIATE PROFESSOR TO PROFESSOR

- a) The following criteria for promotion to the rank of Professor, while laying down the broad qualifications for the rank, are at the same time intended to provide sufficient flexibility to enable each academic unit to apply the standards it considers relevant to its field. While the career paths of individuals will vary, it is expected that the majority of tenured faculty members will meet the qualifications for this rank, albeit at different points, in their careers.
- b) The rank of Professor may be attained by fulfilling any one of the following sets of criteria:
- c) Research/scholarly achievement/creative professional work that is demonstrably superior over a sustained period of time, together with university teaching that has been demonstrated over the years to be of good quality.

- i) The candidate shall submit a research dossier to demonstrate that she or he has made a substantial contribution to her or his field through research, scholarly achievement or creative professional work. While the greatest weight will be given to research/scholarly achievement or creative/professional work, the candidate shall also submit a teaching dossier to demonstrate that her or his teaching has been of good quality.
  - ii) In this category, a faculty member may be considered following completion of six (6) years of service at the rank of Associate Professor.
  - iii) In exceptional cases, a member may be considered for promotion before the completion of six (6) years of service, with the proviso that promotion shall be granted only on the basis of a record of achievement consistent with that normally required for promotion.
- d) Teaching that is demonstrably superior over a sustained period of time together with scholarship/creative professional work which has been demonstrated over the years to be of good quality.
- i) The candidate shall submit a teaching dossier to demonstrate that she or he has made a substantial contribution to higher education through teaching and other pedagogical activities. While the greatest weight will be given to the quality of teaching, the candidate shall also submit a research dossier to demonstrate that her or his scholarly activity or creative professional work has been of good quality.
  - ii) In this category, a faculty member may be considered for promotion following completion of six (6) years of service at the rank of Associate Professor.
- e) A combination of teaching; scholarship/creative professional work; and service to the academic and professional community that has been demonstrated over the individual's career to be of good quality.
- i) The candidate shall demonstrate, by means of the complete dossier, that she or he has maintained a career profile that combines dedicated teaching, an ongoing engagement in scholarly work and service contributions to the University and the professional and academic community. It is understood that the greatest weight will be given to the candidate's aggregate contributions to the University over a sustained period of time, rather than to any one of the three areas of responsibility. It is also understood that teaching, research, and service might evolve and assume different proportions at various periods in a member's academic life.
  - ii) In this category a faculty member may be considered for promotion following the completion of nineteen (19) years in the combined ranks of Assistant and Associate Professor.

NOTE: The provisions of Article 14.05 e) shall apply until May 31, 2014, at which time they shall become null and void. All applications under the provisions of this Article must be received prior to October 1, 2013.

- f) A faculty member may apply for promotion or may be nominated with her or his consent. If the candidate had not requested the promotion, a refusal shall not appear in the candidate's personnel file. It is the responsibility of the members to prepare the requisite dossier even when they are nominated for promotion.

#### 14.06 PROCEDURES AT THE ACADEMIC UNIT LEVEL FOR REAPPOINTMENT

- a) In evaluating the performance of a faculty member, the DPC shall take into account all evidence brought forward in the candidate's complete dossier.
- b) Requests for reappointment shall be submitted in writing to the academic unit head, with a copy to the Dean, by October 15 of the year preceding the expiry of the probationary, ETA, or research appointment.
- c) The DPC shall solicit and consider written submissions from other academic units with which the candidate is associated. All such submissions shall be sent simultaneously to the member and to the DPC. The member shall have the right to respond within five (5) days.
- d) The academic unit head shall forward to the Dean the reasoned report of the DPC. The reasoned report shall refer to criteria based on the appropriate articles in the Collective Agreement. The academic unit head shall send a copy of the reasoned report to the candidate at the same time as it is sent to the Dean.

#### 14.07 PROCEDURES AT THE ACADEMIC UNIT LEVEL FOR PROMOTION TO THE RANK OF PROFESSOR.

- a) Written requests or nominations for promotion to the rank of Professor, together with the complete dossier; and where applicable, the nominee's written consent, shall be submitted to the academic unit head by October 1, with a copy to the Dean.
- b) Requests for promotion to the rank of Professor shall specify under which clause of Article 14.05 the application is being made.
- c) Candidates for promotion to the rank of Professor shall include, as a part of their complete dossier, the names of six (6) individuals chosen in accordance with Article 14.07 f), who may act as evaluators. Up to three (3) evaluators shall be chosen by the DPC from the list provided by the candidate. The DPC may solicit one or two additional evaluations either from the candidate's list or from other evaluators chosen in consultation with the candidate. Evaluators shall receive the candidate's c.v. and other relevant supporting materials, and a copy of the relevant criteria as specified in the Collective Agreement.

- d) Evaluators shall not be in a position of conflict of interest.
- e) Evaluators shall disclose having collaborated (e.g. having published, having been a co-researcher) with the candidate in the last five years and/or being involved in a research project in which the candidate is also involved.
- f) The academic unit head shall solicit evaluations no later than November 1 and shall request that evaluators submit their evaluation within 40 days of the date of the request, but in no case later than February 1. Evaluations shall be solicited as follows:
  - i) Evaluations of the research/creative professional work of candidates applying for promotion under the provision of Article 14.05 c) shall be solicited from experts in the candidate's discipline at other universities and institutions. Every effort shall be made to choose individuals who hold the rank of Professor in the relevant discipline. However, it is recognized that depending upon the discipline, this may not always be possible.
  - ii) The quality of teaching of candidates applying for promotion under the provisions of Article 14.05 c) shall be assessed by the DPC based upon the teaching dossier presented by the candidate. In some cases, the DPC may wish to solicit evaluations from other individuals within the University who can attest to the candidate's teaching effectiveness. Any such evaluators shall be chosen in consultation with the candidate.
  - iii) Evaluations of the teaching quality of candidates applying for promotion under the provisions of Article 14.05 d) shall be solicited from experts in the candidate's discipline both at other universities or institutions and at Concordia who can attest to the candidate's effectiveness as a teacher and her or his contribution to pedagogy in the discipline.
  - iv) The quality of the scholarship of candidates applying for promotion under the provisions of Article 14.05 d) shall normally be assessed by the DPC based upon the research dossier presented by the candidate. In some cases the DPC may wish to solicit evaluations from other individuals within the University, or outside, if the candidate so wishes, who can attest to the quality of the candidate's scholarship/creative work. Any such evaluators shall be chosen in consultation with the candidate.
  - v) Evaluations of candidates applying for promotion under the provisions of Article 14.05 e) will normally be solicited from individuals within the University who can attest to the candidate's competence. It is understood that particular emphasis will be given to the candidate's aggregate contribution over her or his entire career.
  - vi) All evaluations shall be based upon the dossiers in accordance with Article 14.01.

- g) The DPC shall decide by majority vote, by secret ballot, whether to approve or reject the candidate's application for promotion to the rank of Professor. The DPC's, reasoned report, together with all the dossiers and evaluation reports, shall be transmitted by the academic unit head to the Dean by February 1 of the academic year of the candidate's application. A copy of the DPC reasoned report shall at the same time be sent to the candidate.

#### 14.08 PROCEDURES AT THE FACULTY LEVEL

- a) Each Dean shall review all DPC recommendations with the FPTC. For the purpose of reappointment and promotion, the Dean is a non-voting member of the FPTC. This committee, having studied the candidate's dossier, shall vote by secret ballot, and shall present its reasoned recommendations and a numerical record of the vote to the Dean in writing.
- b) By November 30 in the case of reappointment, the Dean shall forward the reasoned report of the FPTC, together with her or his reasoned recommendation and the reasoned report resulting from the evaluation at the DPC level, to the Provost, the faculty member, the Chair of the DPC, and the Association. In addition, by the same dates, the Dean shall send a copy of her or his reasoned recommendation to the members of the FPTC.
- c) In the case of promotion to the rank of Professor, the FPTC shall receive and review the entire dossier from the DPC. The FPTC may solicit one or two additional evaluations from individuals chosen in consultation with the candidate. In such cases, the Dean shall so inform the academic unit head and the DPC.
- d) In the case of promotion to the rank of Professor, the FPTC shall forward its signed, reasoned report to the University Committee on Promotion to Professor (see Article 14.10) by March 15. At the same time, the FPTC shall send its report to the candidate. In this case, the Dean shall not make a separate recommendation.
- e) Notwithstanding Article 21.03, if at least seventy-five percent (75%) of the votes tallied at each of the DPC and the FPTC levels are to reject a request for promotion to the rank of Professor, consideration of such promotion shall be terminated with no right of appeal.

#### 14.09 REVIEW AT THE UNIVERSITY LEVEL

##### Responsibilities of the Provost

- a) It is the responsibility of the Provost to make decisions regarding contract renewal and promotion, except promotion to the rank of Professor.
- b) Every effort will be made to communicate all promotion decisions to the member by May 15 of the same academic year as the request for promotion. In all cases of denial of promotion or contract non-renewal, the Provost shall provide the



candidate with a reasoned report setting out the considerations that led to the refusal.

- c) These decisions are subject to appeal in accordance with Article 21.
- d) A full-time faculty member in a probationary appointment and an ETA member whose contract terminates at the end of the academic year shall be notified of the result of the reappointment exercise by the Provost by December 20, with copies to the Chair of the DPC, the academic unit head and the Faculty Dean.
- e) Except for cases proceeding through Article 14.10 d), when the reappointment or promotion procedure has been completed and a decision taken, the candidate may consult her or his file and may request copies of any evaluations.
- f) In the case of reappointment, if the appeal provisions of Article 21 apply, no contract can be issued until the appeal, if lodged, has been decided.

#### 14.10 UNIVERSITY COMMITTEE ON PROMOTION TO PROFESSOR

- a) The UCPP shall receive, by March 15, the full dossier of the candidate, which includes any documents originating from and responsive to procedures at the academic unit and Faculty levels.
- b) The Provost shall communicate in writing to each candidate and the academic unit head the UCPP decision concerning her or his promotion by May 31. If promotion is denied, the Provost's letter shall state the reasons for denial.
- c) The effective date of the promotion is June 1 following the application.
- d) As of June 1, the candidate may consult her or his file and may request copies of any evaluations.
- e) Only the candidate may appeal the decision on promotion to the rank of Professor to the University Appeals Board.

#### 14.11 EVALUATION OF ETA FACULTY MEMBERS FOR THE PURPOSE OF REAPPOINTMENT

- a) ETA Members are eligible for reappointment subject to the availability of work and a positive evaluation of their performance.
- b) The first reappointment shall be for approximately thirty-six (36) consecutive months with the exception that in the case of a candidate who had served as an LTA for at least thirty-three (33) months of the five (5) years preceding her or his initial appointment, the first reappointment shall be for sixty (60) consecutive months. All subsequent reappointments shall be for approximately sixty (60) consecutive months.

- c) For the purposes of this clause, “availability of work” shall mean that the number of probationary and tenured members is insufficient to cover the academic unit's or Faculty's teaching and service commitments for which the member is qualified based on concrete information at the time of the reappointment. In the case where there is insufficient work for all ETAs in an academic unit or Faculty, any remaining ETA positions shall be allocated based on performance and relevant qualifications. All things being equal, seniority shall be considered.
- d) For the purposes of clause 14.11, the evaluation shall pay particular attention to the quality of the candidate's teaching and participation in the life of the academic unit.
  - i) For renewal of the initial appointment of three (3) years, “a positive evaluation of their performance” shall mean very good performance in teaching and satisfactory service.
  - ii) For all other renewals, “a positive evaluation of their performance” shall mean satisfactory performance in teaching and service.
- e) The evaluation shall be carried out in accordance with Article 14.06 a), b) and c), 14.08 a) and b), and 14.09 a).

#### 14.12 PROMOTION OF ETA FACULTY MEMBERS

- a) Promotion from Lecturer to Senior Lecturer shall occur with the granting of the first five-year contract.
- b) Effective June 1 of each academic year, ETA members holding the rank of Lecturer who have completed six (6) or more years of service as an ETA shall be promoted to the rank of Senior Lecturer. Notwithstanding this change, the expiration date of the member's contract shall remain unaltered.
- c) ETA members who held appointments at the rank of Assistant or Associate Professor as of March 3, 2003 may continue at their current rank, and may apply for promotion as set out in the Letter of Agreement annexed hereto as Appendix 7. Alternatively they may elect to accept the rank of Senior Lecturer.
- d) ETA members holding the rank of Assistant Professor shall be granted the rank of Senior Lecturer on submission of a request to this effect to the Provost in writing.

#### 14.13 CAREER DEVELOPMENT OF PROBATIONARY MEMBERS AND OF ETA MEMBERS HOLDING THREE-YEAR CONTRACTS

- a) The academic unit head shall convene an annual individual meeting with each probationary member and each ETA member holding a three-year contract for the purpose of fostering the faculty member's career development in the relevant categories of the member's duties and responsibilities as specified in Article 16.

In addition, at the meeting prior to reappointment and tenure consideration, the Academic Unit Head and the member shall discuss the preparation of the member's dossier.

- b) The academic unit head shall provide a minimum of twenty (20) days' notice of each meeting.
- c) The member shall compile and bring to the meeting a record of her or his research, teaching and/or service activities of the past year, as applicable.
- d) The member may be accompanied by a member of her or his choice.
- e) Meetings will normally take place between May 1 and June 30 of each academic year.
- f) Within ten (10) days following the meeting, the academic unit head shall provide to the faculty member a letter which shall reflect the discussion at the meeting and shall identify both those aspects of the member's performance that meet or exceed the normal criteria, and any that fail to meet the criteria. In the case of aspects of performance that fail to meet the normal criteria, the letter shall recommend measures intended to improve the member's performance.
- g) A copy of the letter shall be provided to the Dean.
- h) The letter shall not be included in the member's dossier at the time of consideration for reappointment or tenure, except under the provisions of Article 21.07 c) iii).

#### 14.14 PERFORMANCE EVALUATION OF TENURED MEMBERS AND ETA MEMBERS HOLDING FIVE-YEAR APPOINTMENTS

- a) Performance of duties and responsibilities of continuing tenured members and ETA members holding five-year appointments shall be evaluated by the DPC and reviewed by the Dean with the FPTC.
- b) This performance evaluation shall take place in the Fall of every even-numbered year. Criteria for awarding Career Development Increments (CDI)/step increases shall be governed by Article 14.01. Continuing members shall submit dossiers as stipulated in paragraph c) below, and shall be evaluated on their performance of duties (Article 16). Satisfactory performance evaluation leads to the awarding of CDI/step increases in accordance with Article 39.
- c) On or before October 1 in even-numbered years, continuing members shall submit to the academic unit head a complete updated *curriculum vitae*, and a dossier, prepared according to the provisions of Article 14.01 k), covering only their activities over the previous two (2) academic years. Members who are on leave on October 1 may choose not to submit their dossier. In such cases, the member shall submit their dossier for the same two-year period on or before October 1 of the following year.

- d) The academic unit head shall convene the DPC and shall provide it with the dossier submitted by each tenured member and ETA member holding a five-year contract as well as any relevant additional documentation already contained in the member's personnel file. The candidate shall receive copies of all supplemental documentation and shall have five (5) days to provide any commentary relevant to this supplementary information. The DPC shall evaluate the dossiers for all such members. Based upon the evaluation, the DPC shall make recommendations regarding CDI/step increases for all members.
- e) The DPC shall prepare a reasoned report for each member who has submitted a dossier. The report and a copy of the dossier shall be sent to the Dean by December 1. A copy of the report shall be sent at the same time to the member.
- f) The FPTC shall review the member's dossier and the DPC recommendation. When the FPTC agrees with a recommendation of the DPC, that recommendation becomes the decision. Should the FPTC disagree with the recommendation of the DPC, it shall submit a reasoned recommendation to the Dean, with a copy to the member. In such a case, the Dean shall accept either the DPC or the FPTC recommendation and shall inform each member in writing by March 1 of the final decision in her or his case, with a copy to the academic unit head.
- g) Probationary members and members with three-year ETA appointments shall not be evaluated for the purpose of awarding CDI/step increases, but shall automatically be eligible for granted CDI/step increases in accordance with Article 39.
- h) Members who were hired, granted tenure, reappointed in the case of a five-year ETA, or promoted in an even-numbered year shall not be evaluated, and will automatically be eligible to receive CDI/step increases in the two subsequent academic years. Such members will be evaluated in the subsequent performance review exercise occurring in an even-numbered year.

Agreed March 18, 2013