

## PROCEDURES FOR RENEWAL, CONTINUING APPOINTMENT, AND PROMOTION

### Procedures and Timetable as Set Out in Article 31 of the Collective Agreement

#### General

1. All the processes leading to decisions on renewal, continuing appointment and promotion of continuing-track and continuing librarian and archivist Members of the Faculty, Librarians and Archivists Bargaining Unit must adhere to the relevant provisions of the Queen's – QUFA 2015-2019 Collective Agreement.
2. It is very important that all participants in the review of renewal, continuing appointment and promotion decisions thoroughly familiarize themselves with all relevant Articles of the Collective Agreement *before* beginning the process. At a minimum, all participants must review the following Articles:
  - a. **Article 31: Renewal, Continuing Appointment and Promotion for Librarian and Archivist Members**
  - b. **Article 24: Employment Equity**
  - c. **Article 18: Conflict of Interest and Conflict of Commitment**
  - d. **Article 29: Assessment and Evaluation of Teaching**
3. Members of Renewal, Continuing Appointment and Promotion (RCP) Committees shall not participate in the deliberations or recommendations of any application where they are in a conflict of interest or where there may be a reasonable apprehension of bias. (**Article 18**)
4. All members of RCP Committees must complete the equity training offered by the Office of the University Advisor on Equity before participating in the review of applicants' files. (**Article 24**). **NOTE:** The Collective Agreement (Article 24.2.1) has clarified that this requirement applies to administrators with a recommendatory or decision-making role in an appointments or personnel process.

5. RCP procedures shall be conducted in accordance with the relevant provisions of Article 24 (Employment Equity) [*reference Article 31.2.3*]. Note especially Article 24.1.5:

24.1.5 Consistent with principles of employment equity, the Parties agree that in the evaluation of applicants for renewal, tenure and promotion,

- (a) the criteria adopted must not systematically discriminate against members of equity-seeking groups and shall be reviewed periodically to ensure that they do not undervalue work which is done predominantly by members of the equity-seeking groups; and
- (b) applicants shall not be disadvantaged by reason of minor career interruptions caused by family responsibilities.

6. All Members have the right to grieve negative decisions.

7. For **Continuing-track** Members (**Article 31**):

- (a) Applications for Renewal or for a Continuing appointment may apply for promotion at the same time as the application for Renewal or a Continuing appointment, using a single Application File. If Members choose not to apply for promotion at the same time, they must make their decision known in writing to the Committee at the start of the assessment. [*reference Article 31.4.3, and Article 31.4.6*].

### **Guide to Articles and Overview of the Timetable for the Process**

The tables on the pages that follow provide some guidance on the relevant sections of the Collective Agreement governing the RCP process. However, individuals involved in the RCP process should familiarize themselves thoroughly with the complete text of the relevant Articles *before beginning the process*.

In following these processes **time is of the essence**. Accordingly, careful planning should be done to ensure that the timelines are met. The tables, which are listed here, can be used as checklists for Committees, the Associate University Librarian, the University Librarian and the University Archivist:

<u>Table 1</u> : Selecting and Preparing the Committee, Review of Candidates' Eligibility and the Criteria for RCP
<u>Table 2</u> : Notification
<u>Table 3</u> : Preparing the RCP file
<u>Table 4</u> : Recommendation Process
<u>Table 5</u> : Decision

<b>Table 1: Selecting and Preparing the Committee; Review of Candidates' Eligibility and the Criteria for RCP</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
<b>Committee</b>			<b>31.2</b>
Date elected (by secret ballot)	<u>By May 1</u> (each year)	<input type="checkbox"/>	31.2.1
Membership			31.2.1, 31.2.2, 31.2.3
Role			31.2.4
Conflict of Interest and Apprehension of Bias			31.2.5
Confidentiality of proceedings			31.2.6, 31.2.7
Equity representative, equity responsibilities			31.2.3, 24
Remedial processes			31.3
RCP Committee members to review RCP File in order to participate in recommendation			31.12.2
<b>Eligibility of Candidate(s)</b>			<b>31.4</b>
For Renewal			31.4.1, 31.4.2, 31.4.7
For Continuing Appointment			31.4.4, 31.4.5, 31.4.8
<b>Criteria</b>			<b>31.5</b>
For Renewal			31.5.1, 31.5.2
For Continuing Appointment			31.5.3, 31.5.4
For Promotion			31.5.5, 31.5.6

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<b>Table 2: Notification</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
<b>Notification</b>			<b>31.6</b>
Notice published in <u>For the Record</u> re Aug 15 deadline for applications – by the Office of the Provost and Vice-Principal (Academic)	<u>By May 1</u>	<input type="checkbox"/>	31.6.1
University Librarian/University Archivist notifies the Members of the Unit of			31.6.1, 31.6.2
a) application deadlines; and	<u>By May 15</u>	<input type="checkbox"/>	
b) the announcement in <u>For the Record</u>	<u>By May 15</u>	<input type="checkbox"/>	
c) their eligibility for Renewal or Continuing appointment and draws their attention to Appendix O	<u>By May 15</u>	<input type="checkbox"/>	
Member notifies University Librarian/University Archivist of application (NB, note circumstances under which application may be postponed)	<u>By July 1</u>	<input type="checkbox"/>	31.6.3, 31.4.7, 31.4.8
University Librarian/University Archivist notifies RCP Committee of applications	<u>As soon as possible after July 1</u>	<input type="checkbox"/>	31.6.4
RTP Committee schedules meetings	<u>As soon as possible after the Member has given notice of intention to apply</u>	<input type="checkbox"/>	31.6.4

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<b>Table 3: Preparing the RCP File</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
<b>Step 1: Solicitation of Referees' Reports</b>			<b>31.7</b>
Number of Referees required			31.7.1, 31.7.2, 31.7.3
Criteria for selection of suitable referees			31.7.4
University Librarian (or Associate University Librarian)/University Archivist meets with applicant to discuss suitability of potential referees and preparation of the application	<u>No later than July 15</u>	<input type="checkbox"/>	31.7.5
Member's list due	<u>No later than July 31</u>	<input type="checkbox"/>	31.7.6
Committee to also suggest referees		<input type="checkbox"/>	31.7.7
Process for selection of referees	<i>By August 7 (or as soon as possible)</i>	<input type="checkbox"/>	31.7.6 through 31.7.10
Solicitation of referees' reports by University Librarian/University Archivist	<i>By August 15 (or as soon as possible)</i>		31.7.11 see also 31.7.1, 31.7.2, 31.7.3
Referees' reports included in RCP File; these are masked if requested by the referees	<i>As received, and prior to Committee reviewing the file</i>	<input type="checkbox"/>	31.11.2, note 31.7.12 if reports not received
<b>Step 2: Member's Application File</b>			<b>31.8</b>
Copy of Official File (without other assessment files) made available at Member's request to assist Member in preparing application. Copy to be made by the Unit	<u>On request of Member</u>	<input type="checkbox"/>	34.3.3
Member's Application File completed and submitted to the Committee (note contents of Member's Application File). This forms part of the RCP File	<u>By August 15</u>	<input type="checkbox"/>	31.8.1
Preparation of duplicate copies of Member's Application File (note Unit reimbursement to Member)	<i>As soon as possible</i>	<input type="checkbox"/>	31.8.2
<b>Step 3: Solicitation of Colleagues' Opinions</b>			<b>31.9</b>
Definition of "Colleagues"			31.9.1
Applicant's RCP File (material from 31.8.1 only) made available to Colleagues for review.	<u>By September 15</u>	<input type="checkbox"/>	31.9.1

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<b>Table 3: Preparing the RCP File</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
Colleagues written and signed opinions included in RCP File	<i>As received, and prior to Committee reviewing the file</i>	<input type="checkbox"/>	
<b>Step 4: Addition of Material from the Official File</b>			<b>31.10</b>
University Librarian (or Associate University Librarian)/University Archivist provides applicant with information from the Member's Official File that is relevant to the application that will be included in the RCP File	<u>Prior to October 15</u> <i>(earlier if possible)</i>	<input type="checkbox"/>	31.10.1
Applicant reviews and has 10 working days to provide a written response to any of the material provided by Unit Head (per above). Any written response from the Member is included in the RCP File	<u>10 working days following receipt</u>	<input type="checkbox"/>	31.10.1
<b>Step 5: Completion of the RCP File prior to Review</b>			<b>31.11</b>
RCP File contents			31.11.1
Masking of certain reports included in the RCP File			31.11.2
Unsolicited material (not to be included in the RCP File nor considered by the Committee)			31.11.3
Applicant's access to the RCP File, and ability to add new material to the RCP File mid-process			31.11.4, 31.11.5
University Librarian's/Archivist's ability to add new material to the RCP file mid-process			31.11.5
If a Member submits material or a response which includes an interpretation of the CA or past practice, the Faculty Relations Office shall receive a copy and have 10 working days to respond (response placed in file)			31.11.6
RCP File ready for Committee to review	<u>By November 15</u> <i>(earlier if possible)</i>	<input type="checkbox"/>	31.12.2

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<b>Table 4: Recommendation Processes</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
<b>Step 1: General</b>			
Use of the RCP File			31.12.1
<b>Step 2: Committee's Review and Recommendation</b>			
RCP File ready for Committee's review	<u>By November 15</u>	<input type="checkbox"/>	31.12.2
Committee members review RCP File. All Committee members shall review RCP File in order to participate in the formulation of the recommendation	<i>Once file is complete</i>	<input type="checkbox"/>	31.12.2
In the case of an emerging negative recommendation (clearly stated with reasons), the applicant has 10 working days to submit a written response or any additional relevant material	<i>Allowing 10 working days for Member's response and so that recommendations can be made on time</i>	<input type="checkbox"/>	31.12.3
Members response (if any) to emerging negative added to the RCP File	<i>As received and prior to Committee making its recommendation</i>	<input type="checkbox"/>	31.12.3
Committee makes recommendation (positive or negative); the recommendation is forwarded to the Association University Librarian (Libraries) or University Archivist (Archives) and applicant at the same time. Recommendation is added to the RCP File, which is forwarded to the next level.	<u>By December 15</u>	<input type="checkbox"/>	31.12.4, 31.12.5 (Libraries), 31.12.6 (Archives)
<b>Step 3: Associate University Librarian's/University Archivists Review and Recommendation</b>			<b>31.12.7</b>
Before reviewing the RCP File, Associate University Librarian/University Archivist notifies applicant that he/she has seven days to respond to Committee's recommendation (positive or negative)	<u>7 days</u>	<input type="checkbox"/>	31.12.7
Applicant's response (if any) to Committee's recommendation is added to RCP File	<i>As received and prior to Associate University Librarian making his/her recommendation</i>	<input type="checkbox"/>	31.12.7
Associate University Librarian/University Archivist reviews RCP File	<i>Once file is complete</i>	<input type="checkbox"/>	31.12.8

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<b>Table 4: Recommendation Processes</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
In the case of an emerging negative recommendation by the Associate University Librarian/University Archivist (clearly stated with reasons), the applicant has 10 working days to submit a written response or any additional relevant material	<i>Allowing 10 working days for Member's response and so that recommendations can be made on time</i>	<input type="checkbox"/>	31.12.9
Member's response (if any) to emerging negative added to the RCP File	<i>Within 10 working days of receipt of the Associate Librarian's emerging negative and prior to Associate University Librarian making her/his recommendation</i>	<input type="checkbox"/>	31.12.9
Prior to making a recommendation that would differ from that of the Committee, Associate University Librarian/University Archivist meets with Committee to discuss his/her concerns	<i>Before January 15</i>	<input type="checkbox"/>	31.12.10
Associate University Librarian/University Archivist makes recommendation (positive or negative); the recommendation is forwarded to the University Librarian and applicant at the same time. Recommendation is added to the RCP File, which is forwarded to the University Librarian	<u>By January 15</u>	<input type="checkbox"/>	31.12.12
<b>Step 4: University Librarian's Review and Recommendation</b>			
Before reviewing the RCP File, University Librarian notifies applicant that he/she has ten days to respond to Associate University Librarian/University Archivist's recommendation (positive or negative)	<u>10 days</u>		31.12.13

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<b>Table 4: Recommendation Processes</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References</b>
Applicant's response (if any) to Associate University Librarian's/University Archivist's recommendation is added to RCP File	<i>Within 10 working days of receipt of the Associate University Librarian's/University Archivists recommendation and prior to the University Librarian making his/her recommendation</i>	<input type="checkbox"/>	31.12.13
University Librarian reviews RCP File	<i>Once File is complete</i>	<input type="checkbox"/>	31.12.14
In the case of an emerging negative recommendation (clearly stated with reasons), the applicant has 10 working days to submit a written response or any additional relevant material	<i>Allowing 10 working days for Member's response and so that recommendations can be made on time</i>		31.12.15
Member's response (if any) to emerging negative added to the RCP File	<i>Within 10 working days of receipt of the University Librarian's emerging negative and prior to the University Librarian making his/her recommendation</i>	<input type="checkbox"/>	31.12.15
Prior to making a recommendation that would differ from that of the Associate University Librarian/University Archivist, the University Librarian meets with the Associate University Librarian/University Archivist discuss his/her concerns	<i>Before March 1</i>	<input type="checkbox"/>	31.12.16
University Librarian makes recommendation (positive or negative); the recommendation is forwarded to the Principal (or Provost) and applicant at the same time. Recommendation is added to the RCP File which is forwarded to the Principal (or Provost) for decision	<u>By March 1</u>	<input type="checkbox"/>	31.12.17, 31.12.18

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<b>Table 5: Decision</b>			
<b>Topic</b>	<b>Deadline</b>	<b>Item Complete</b>	<b>Article References — Tenure-Track Faculty</b>
Before reviewing the RCP File, Principal (or Provost) notifies applicant that he/she has ten days to respond to University Librarian's recommendation (positive or negative)	<u>10 days</u>	<input type="checkbox"/>	31.13.1
Applicant's response (if any) to University Librarian's recommendation is added to RCP File	<i>Within 10 days of receipt of the University Librarian's decision and prior to Principal's (Provost's) recommendation</i>	<input type="checkbox"/>	31.13.1
Principal (or Provost) reviews RCP File	<i>Once file is complete</i>	<input type="checkbox"/>	31.13.2, 31.13.5
Principal (or Provost) grants or denies renewal, continuing appointment or promotion and informs applicant of decision in writing, including reasons for denial	<u>By April 1</u> (Renewal) or promotion to Assistant Librarian/Assistant Archivist, <u>by April 15</u> (Continuing appointment or promotion to Associate Librarian/Associate Archivist), <u>by May 15</u> (Promotion to Librarian/Archivist)	<input type="checkbox"/>	31.13.3
If the Principal's (or Provost's) decision differs from that of the Committee, Associate University Librarian/University Archivist, or University Librarian, the Principal must explain to them in writing the reasons for the disagreement.		<input type="checkbox"/>	31.13.4
Successful applications are announced in the <u>For the Record</u>		<input type="checkbox"/>	31.13.6
Negative continuing decisions result in a terminal appointment of one year beyond the expiration of the current appointment			31.14.1

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