Guide to the Faculty Appointment Process

For QUFA appointments (other than Term Adjuncts)

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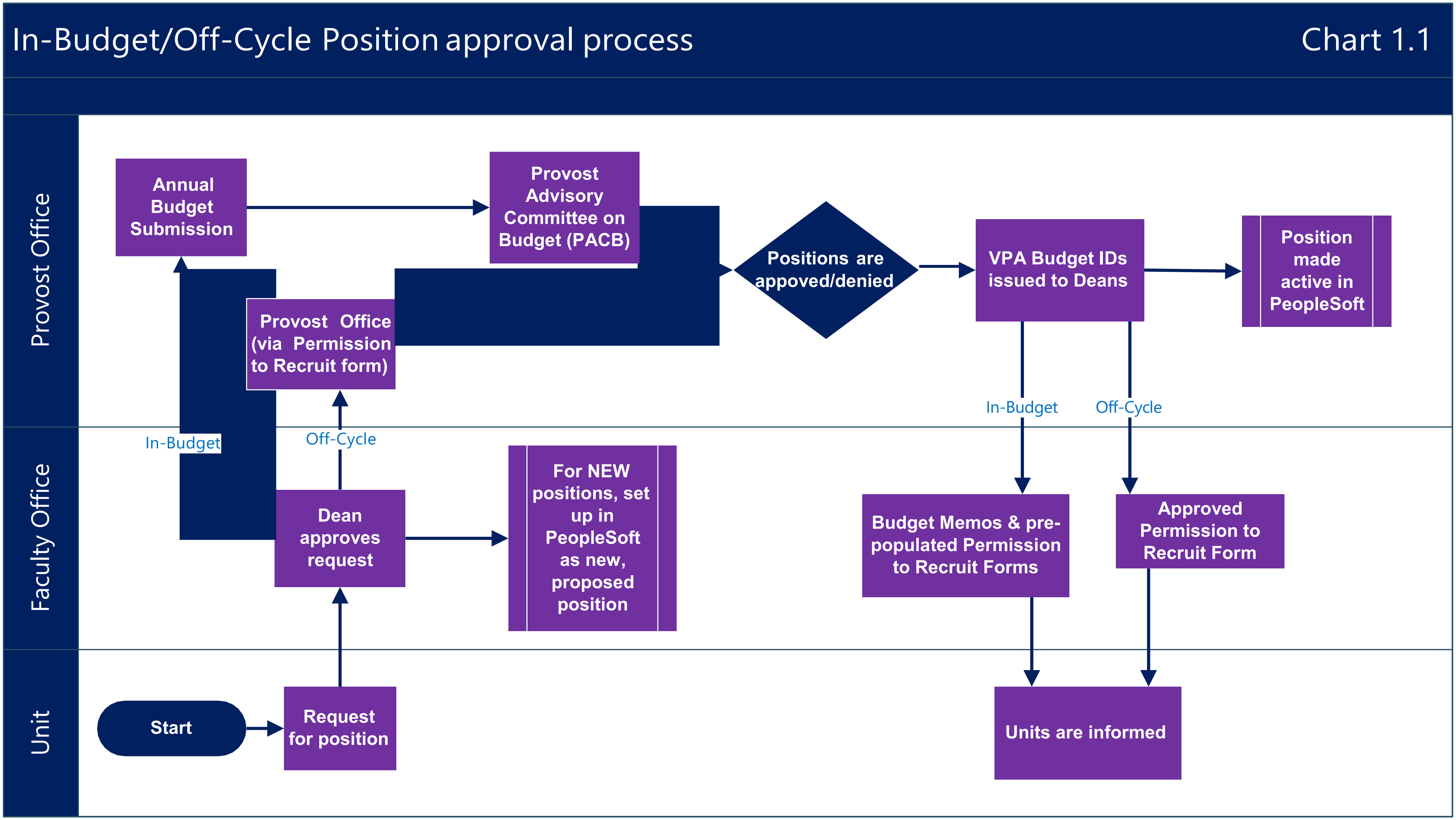
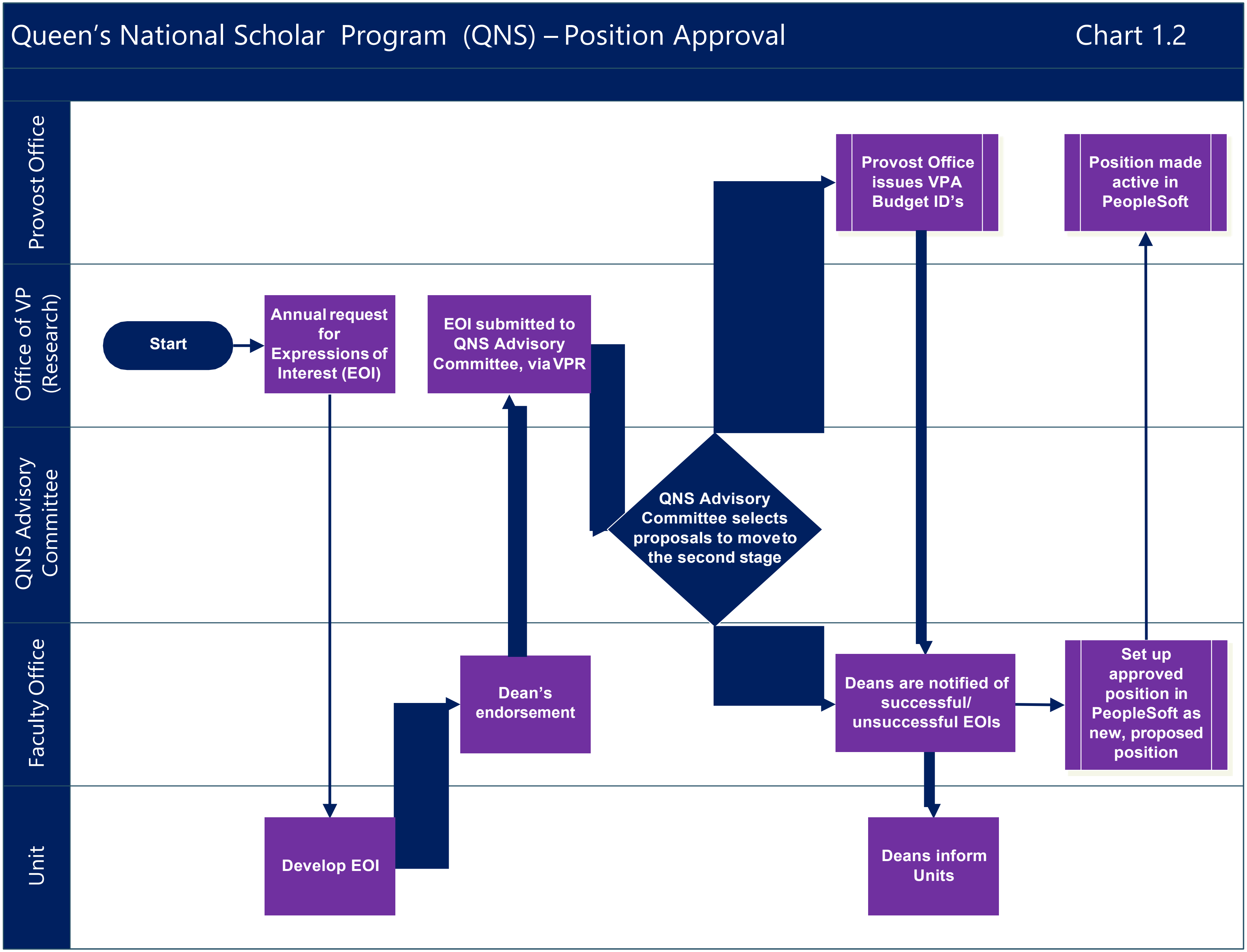
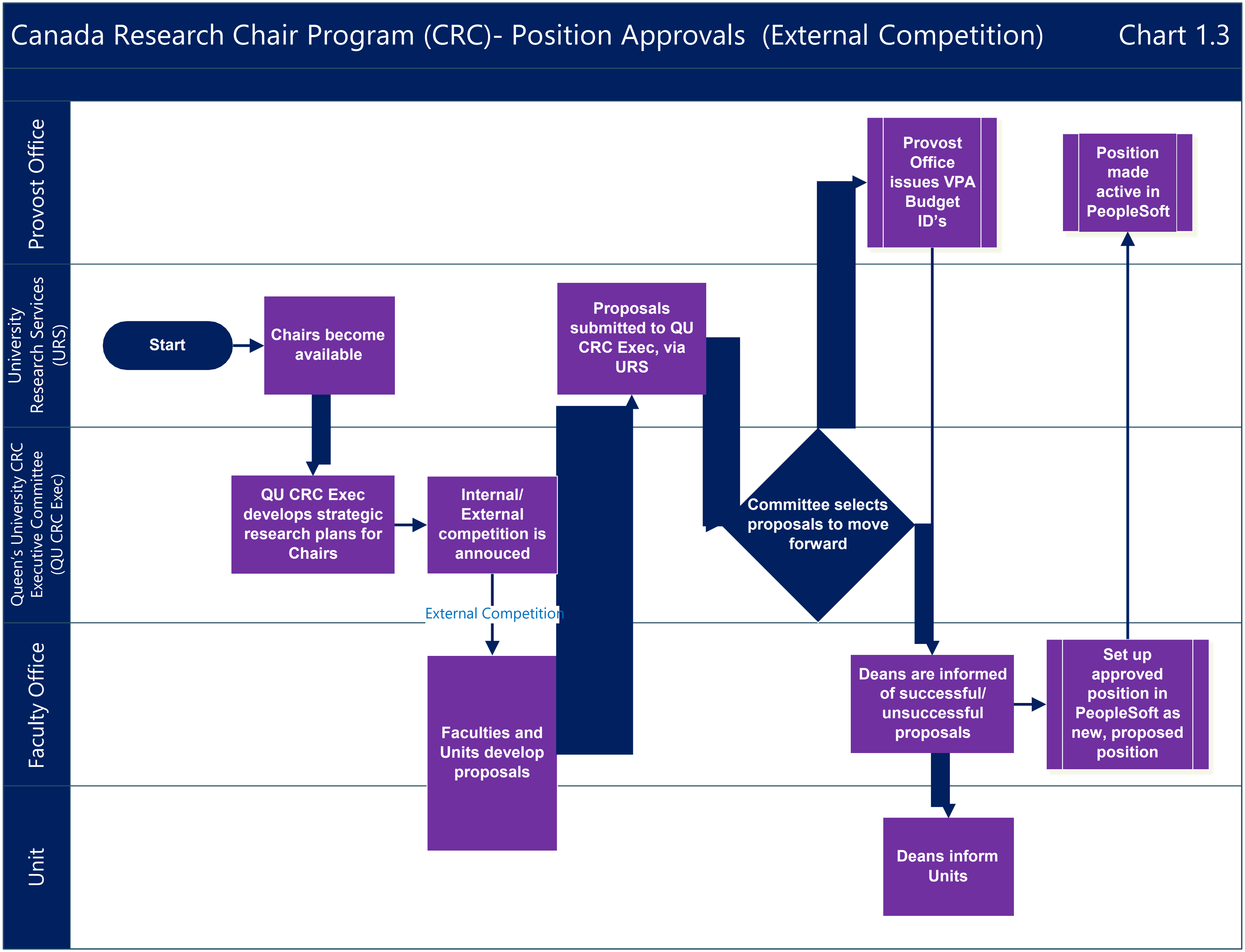
NOTE: The forms and templates referenced in this document are available on Sharepoint. Please always access these templates via Sharepoint so that you ensure you are using the most updated version of the template. Alternative formats are available upon request.



In-Budget/Off-Cycle Position approval process
Chart 1.1
Provost Office
Faculty Office
Unit
Annual Budget Submission
Provost Advisory Committee on Budget (PACB)
Positions are appoved/denied
VPA Budget IDs issued to Deans
Position made active in PeopleSoft
Provost Office (via Permission to Recruit form)
In-Budget
Off-Cycle
In-Budget
Off-Cycle
Dean approves request
For NEW positions, set up in PeopleSoft as new, proposed position
Budget Memos & pre-populated Permission to Recruit Forms
Approved Permission to Recruit Form
Start
Request for position
Units are informed


Queen's National Scholar Program (QNS) – Position Approval
Chart 1.2
Provost Office
Office of VP (Research)
QNS Advisory Committee
Faculty Office
Unit
Start
Annual request for Expressions of Interest (EOI)
EOI submitted to QNS Advisory Committee, via VPR
Develop EOI
Dean's endorsement
QNS Advisory Committee selects proposals to move to the second stage
Provost Office issues VPA Budget ID's
Position made active in PeopleSoft
Deans are notified of successful/ unsuccessful EOIs
Set up approved position in PeopleSoft as new, proposed position
Deans inform Units



Canada Research Chair Program (CRC)- Position Approvals (External Competition)
Chart 1.3
Provost Office
University Research Services (URS)
Queen's University CRC Executive Committee (QU CRC Exec)
Faculty Office
Unit
Start
Chairs become available
QU CRC Exec develops strategic research plans for Chairs
Internal/ External competition is annouced
External Competition
Faculties and Units develop proposals
Proposals submitted to QU CRC Exec, via URS
Committee selects proposals to move forward
Provost Office issues VPA Budget ID's
Deans are informed of successful/ unsuccessful proposals
Deans inform Units
Set up approved position in PeopleSoft as new, proposed position
Position made active in PeopleSoft

Position Approvals

Steps for In-Budget and Off-Cycle Position Approval

1. The Department submits a request to recruit to the Faculty Office. The request must show:
    - How the position aligns with the Units research priorities
    - How the position supports the departmental academic program needs
    - How the position will be funded
    - Specify whether the position is to **replace** a faculty member (retirement/resignation) or a **new** position (represents faculty growth within the department)

EQUITY BEST PRACTICE TIP: CONSIDER THE POTENTIAL OF DRAWING A DIVERSE POOL OF CANDIDATES WHEN DEFINING THE TARGETED FIELD OF RESEARCH, OUTLINING THAT A BROADER FIELD OF RESEARCH IS MORE LIKELY TO ATTRACT A MORE DIVERSE POOL OF CANDIDATES. IF APPLICABLE, CONSIDER WHETHER THERE ARE FORMS OF UNDERREPRESENTED SCHOLARSHIP IN YOUR DEPARTMENT THAT MIGHT ATTRACT MEMBERS OF UNDERREPRESENTED EQUITY SEEKING GROUPS.

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2. PeopleSoft (PS) Position Number set up – reference PS position number of previous incumbent (for replacement positions) OR set up as a new, proposed position
3. Dean approves the request (in departmentalized faculties). The Dean must support any requests to hire at above the Assistant Professor rank, and requests must include:
    - Detailed rational for hiring at above the rank of Assistant Professor
4. Dean submits request to Provost Office
    - In-Budget requests are submitted as part of the annual faculty budget and staffing submission.
    - Off-Cycle requests require a *Permission to Recruit form*. Permission to Recruit forms are completed and sent electronically by email to the Provost Office.
5. The Provost Office will have final approval on all positions. Positions that are approved will be issued a VPA Budget ID number
    - In-Budget position requests will be issued a pre-populated *Permission to Recruit Form: In-Budget*
    - Off-Cycle requests will have their *Permission to Recruit Form: Off-Cycle Request* approved and returned
6. Academic Compensation will make new, approved positions active in PeopleSoft
7. Deans inform Units

Key Documents

- Permission to Recruit form: Off-Cycle Requests
- Permission to Recruit form: In-Budget
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Steps for QNS Position Approval

1. The Unit develops Expression of Interest (EOI) and submits to the Dean (for departmentalized faculties) by the date specified on Vice-Principal (Research) (VPR) website.

EQUITY BEST PRACTICE TIP: CONSIDER THE POTENTIAL OF DRAWING A DIVERSE POOL OF CANDIDATES WHEN DEFINING THE TARGETED FIELD OF RESEARCH, OUTLINING THAT A BROADER FIELD OF RESEARCH IS MORE LIKELY TO ATTRACT A MORE DIVERSE POOL OF CANDIDATES. IF APPLICABLE, CONSIDER WHETHER THERE ARE FORMS OF UNDERREPRESENTED SCHOLARSHIP IN YOUR DEPARTMENT THAT MIGHT ATTRACT MEMBERS OF UNDERREPRESENTED EQUITY SEEKING GROUPS.

2. The Dean endorses the EOI and submits to VPR by date specified on VPR website. Note that the dean(s) must commit to fund any additional costs associated with the appointment beyond the annual $100,000 incurred in the first five years, and all of the costs associated with the appointment afterward.
3. The QNS Advisory Committee reviews the EOIs and selects those to advance to the second stage
4. Deans are notified of which EOIs have been selected to advance to the second stage
5. The Provost Office issues a VPA Budget ID number for each approved QNS position
6. Business Officers set up new, proposed position in PeopleSoft
7. Academic Compensation will make new, approved positions active in PeopleSoft
8. Deans inform Units

Key Documents for Expressions of Interest (EOI)

- Summary Proposal
- Decanal Endorsement
- The Proposal
- Draft Advertisement (strongly recommended)

Steps for CRC Position Approval (external competition)

1. University Research Services (URS) manages CRC allocation for the University and manages available Chair(s)

EQUITY BEST PRACTICE TIP: CONSIDER THE POTENTIAL OF DRAWING A DIVERSE POOL OF CANDIDATES WHEN DEFINING THE TARGETED FIELD OF RESEARCH, OUTLINING THAT A BROADER FIELD OF RESEARCH IS MORE LIKELY TO ATTRACT A MORE DIVERSE POOL OF CANDIDATES. IF APPLICABLE, CONSIDER WHETHER THERE ARE FORMS OF UNDERREPRESENTED SCHOLARSHIP IN YOUR DEPARTMENT THAT MIGHT ATTRACT MEMBERS OF UNDERREPRESENTED EQUITY SEEKING GROUPS.

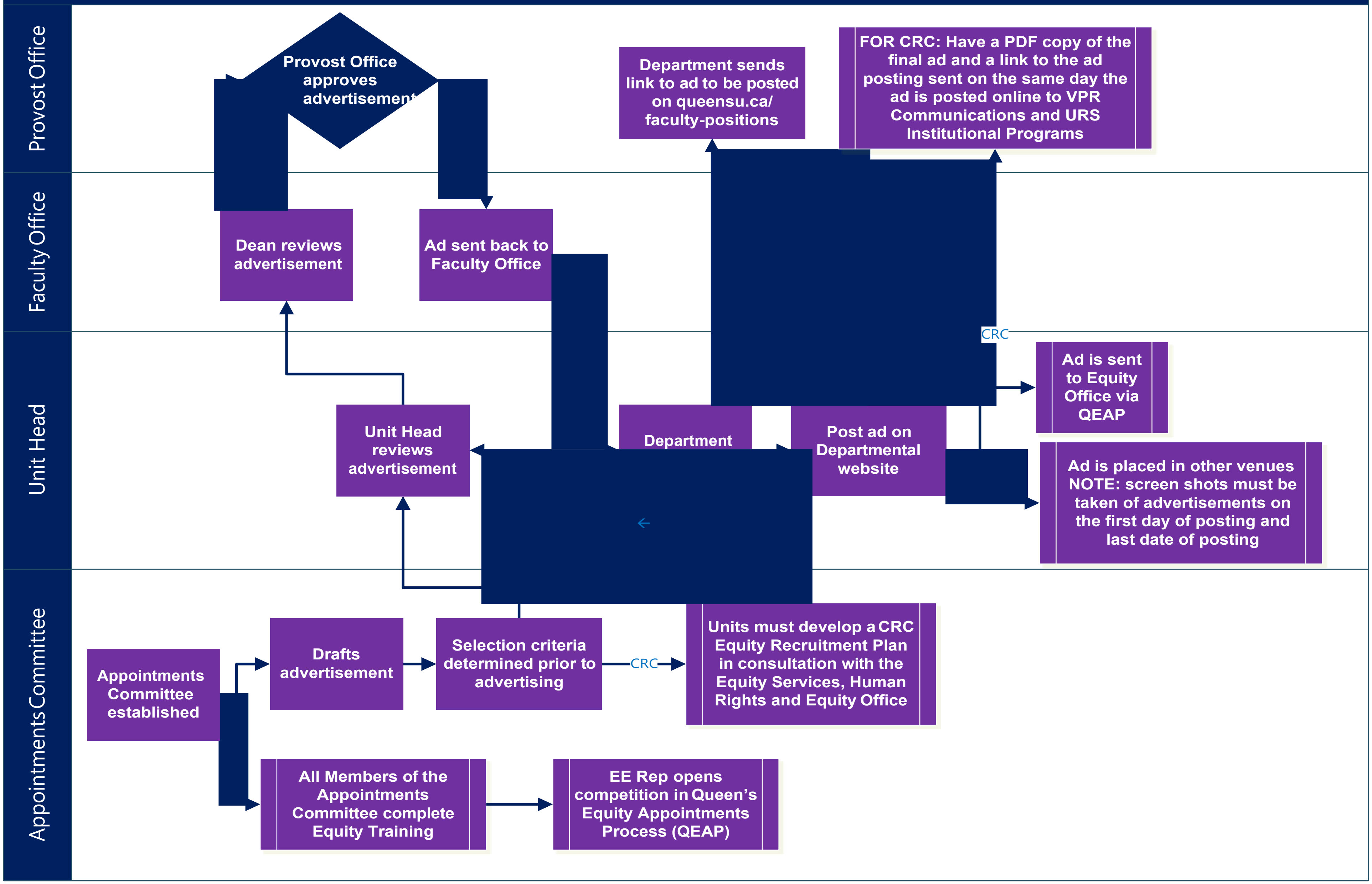
2. Queen's University Canada Research Chair Executive Committee (QU CRC Exec Cttee) announces an **external competition** (for internal competitions, a different process applies), with a primary consideration of Equity, Diversity and Inclusion. The CRC program has specific equity targets and those targets need to be met.

3. The QU CRC Exec Cttee decides on a strategic research area for the Chair and requests proposals (in some cases a Dean may develop a research plan for the Chair)
4. Deans submit proposals (in consultation with Unit(s)) to the QU CRC Exec Cttee, using the specific guidelines for the Chair
5. QU CRC Exec Cttee reviews and selects proposals to go forward
6. URS notifies Provost Office of successful proposals and Provost Office issues VPA Budget numbers
7. Deans are informed of successful/unsuccessful proposals
8. Business Officers set up new, proposed position in PeopleSoft
9. Academic Compensation will make new, approved positions active in PeopleSoft
10. Deans inform Units

More information about CRC's available on the Vice-Principal (Research) website

Approval of Advertisement – all positions

Chart 2.1



Steps for Appointments Committee and Advertisement Approval

1. An Appointments Committee is established by May 1 of every year (see Article 25.5.1 of the Queen's-QUFA Collective Agreement). Exceptions to Appointment Committee structures must be approved by the Joint Committee on the Administration of the Agreement (JCAA) (Article 25.5.1(e)), which may result in a Memorandum of Agreement (MOA) for a Modified Appointments Committee
2. All Members of the Appointments Committee (with the exception of students) must complete the required equity training (see Article 24.2.1). Each Appointments Committee must have a designated Employment Equity Representative (EE rep) who has completed additional training (see Article 24.2.2)

EQUITY BEST PRACTICE TIP: ENSURE THAT THE POTENTIAL FOR CONFLICT OF INTEREST AND REASONABLE APPREHENSION OF BIAS WITHIN THE PROCESS IS MANAGED ACCORDINGLY. COMMITTEE MEMBERS SHOULD REFER TO THE DEFINITIONS AND PROCESSES OUTLINED IN ARTICLES 18.1.1 AND 18.3.

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3. The EE rep is responsible for opening the competition in the Queen's Equity Appointments Process (QEAP) application, adding the committee members to the QEAP, and completing the advertising section of the QEAP. Those acting as an EE rep delegate must also attend the EE rep training.
4. Consult Equity-Seeking Group Data Report to identify gaps.
5. The Committee determines the academic/professional qualifications and experience (in consultation with other Members of the Unit) required for the position, the selection criteria to be used (see Article 25.6.1(a), 24.1.4 (a&b)) and drafts the advertisement using the Advertising Template.

EQUITY BEST PRACTICE TIP: ENSURE THE SELECTION CRITERIA AND ASSESSMENT PROCESS ARE FINALIZED PRIOR TO ADVERTISING

EQUITY BEST PRACTICE TIP: THE COMMITTEE MUST CONSIDER EQUITY, DIVERSITY AND INCLUSION (EDI) IN THE LANGUAGE USED IN THE ADVERTISEMENT AND CONSIDER EDI COMPETENCIES IN RELATION TO THE REQUIRED ACADEMIC/PROFESSIONAL QUALIFICATIONS.

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6. Determine where to place advertisement and encourage qualified individuals to apply (see Article 25.6.1 (b), and 24.3.1).

EQUITY BEST PRACTICE TIP: CONSULT THE HUMAN RIGHTS AND EQUITY OFFICE ON WHERE TO PLACE AD TO ATTRACT A DIVERSE CANDIDATE POOL AND REACH CANDIDATES FROM EQUITY SEEKING GROUPS. CONSIDER UNDERTAKING PROACTIVE, TARGETED OUTREACH TO ATTRACT MEMBERS OF UNDERREPRESENTED GROUPS.

FOR CRC: Units **must** develop a CRC Equity Recruitment plan in consultation with Equity Services (Human Rights and Equity Office). The CRC Equity Recruitment plan includes equity, diversity and inclusionary practices.

7. Ensure advertising meets Citizenship and Immigration Canada (CIC) requirements for Labour Market Impact Assessment (LMIA). More information on the Faculty Recruitment website.
8. Advertisement Approval (as per the flow chart 2.1)

- Appointments committee drafts ad. **For CRC**: an EDI checklist is also required [Canada Research Chairs Equity, Diversity And Inclusion Action Plan 2018]
- Department Head approves draft ad
- Deans Office approves the draft ad and sends to Provost Office with Permission to Recruit form
- Provost Office reviews and approves ad and sends back to Deans Office
- Deans Office sends approved ad back to the Department
- The Department incorporates any changes made by the Provost Office and finalizes the advertisement
- Ad is posted on the departmental website and other locations
- The Department sends a copy of the ad to Equity Services (Human Rights and Equity Office) via QEAP
- The Department sends the Provost Office a link to the advertisement
    i. **FOR CRC** ALSO Have both a PDF copy of the final ad and a link to the ad posting on the departmental website sent to the following people on **the same day that the ad is posted online**, so that they can ensure that the ad is sent to the CRC Program as required: Amanda Gilbert (VPR Communications), and Rebecca Kinsella (URS Institutional Programs)
- The Provost Office posts the link to the ad on the Faculty Positions webpage
- Once the search is complete, the Department will email the Provost Office to remove the link to the ad from the Faculty Positions webpage

9. Changes to ad after posting:
    - Minor Changes: altering application deadline, regular grammar and spelling corrections and changes to contact information **require notification to the Provost Office**
    - Substantive changes: changes to specialization, qualification and requirements, and changes to the rank **require approval by the Provost**
10. Screen shots must be taken of all advertising in Canadian venues (at least 2, better 3), showing the date first posted and the last day of posting. See Faculty Recruitment & Support website for more information on LMIA requirements.

Key Documents

- Permission to Recruit form
- Advertisement (see Advertising Template)

Search Process

Steps

1. Receive applications by deadline noted in the advertisement
2. Candidates are entered into QEAP by EE Rep or delegate
3. EE Rep sends request to all candidates to self-identify via QEAP
4. Ensure the Appointments Committee has established and ranked selection criteria and finalized the assessment process prior to reviewing applications. Ensure this criteria is applied consistently and fairly to all candidates. Include encompassing, clear, flexible criteria for assessing research excellence, and account for nontraditional areas of research and/or research outputs.

Equity Best Practice Tip: Provide evidence that the committee has discussed this in recommendation for appointment through the use of an evaluation matrix

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5. Review Unconscious Biases chart and consider taking the Tri-Agency online unconscious bias training, either individually or as a group

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Equity Best Practice Tip: While it is the role of the EE Rep to identify potential biases, stereotypes and micro-aggressions revealed during the discussions and support the committee members as they work through them, all committee members should uphold the principles of employment equity

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6. Applications are reviewed by the Appointments Committee
   - If the committee determines that not enough qualified applicants have applied, the deadline may be extended **(notify Provost Office)**
   - If the pool of eligible applicants is insufficiently diverse, extend the application deadline, or review the ad more critically for potential barriers and repost it **(Provost approval required)**
   - **Ensure any changed/extended advertising is documented in case of an LMIA**
   - **Ensure CRC (TIPS) is notified of any changed/extended advertising (via VPR/URS contacts)**

Equity Best Practice Tips: Assessment

- Fairly consider the impact of leaves on a potential candidate's record when assessing research outputs and consider that leaves can contribute to a career slowdown during the transition to being on leave and transition back to work.
- Ensure that the assessment process does not undervalue scholarship or research that is non-traditional or unconventional, based in Indigenous ways of knowing, outside the mainstream of the discipline, or focused on issues of gender, race or minority status, for example.
- Ensure that the need for workplace accommodations does not negatively impact a candidate's assessment.
- Review candidates through the lens of equity principles by: challenging the notion of rewarding or overvaluing the familiar, considering diversity of thought, method and experience and evaluating the candidates' demonstrated commitments to EDI (e.g. re: Teaching philosophy, research approaches, mentorship, etc.).

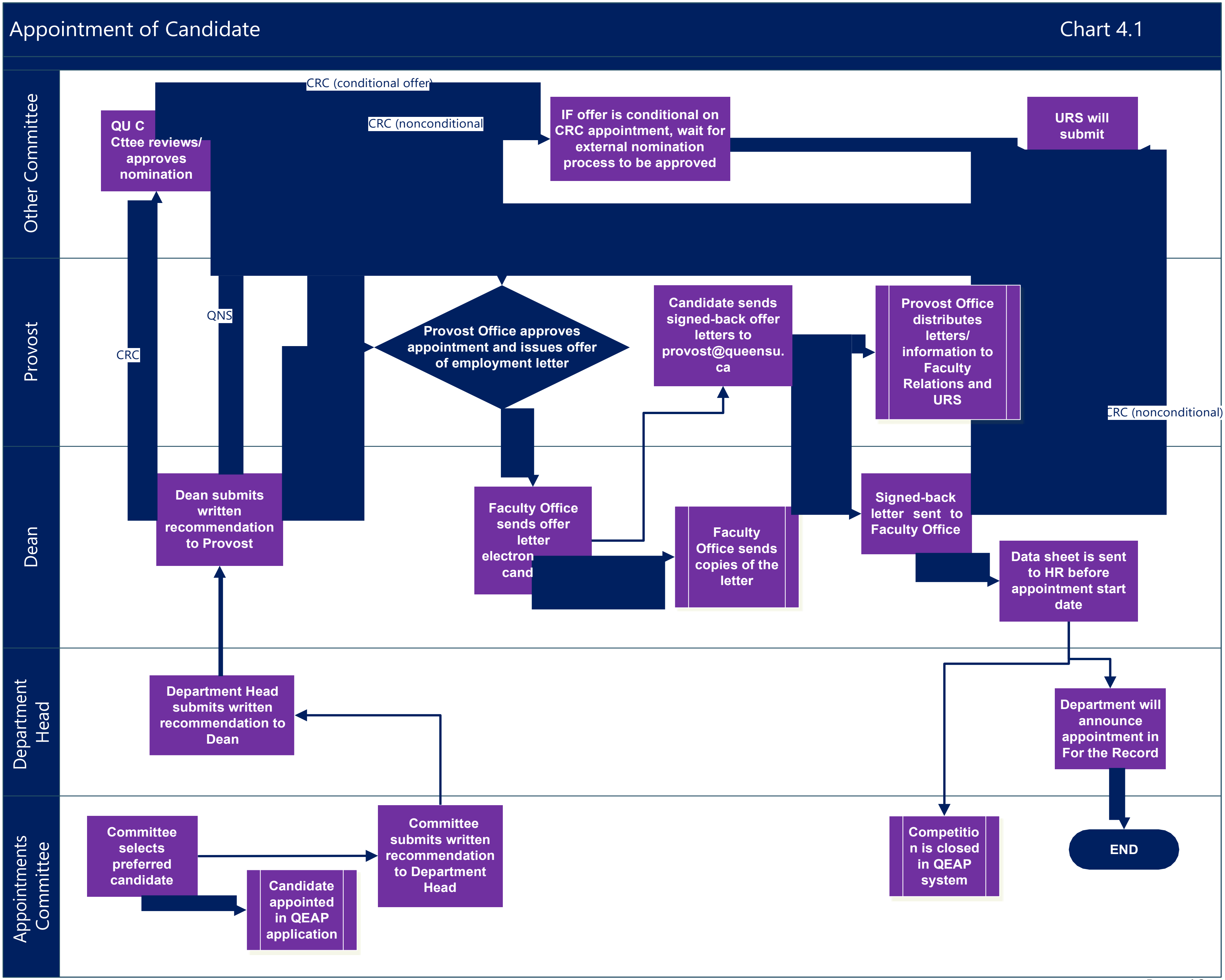
- Be mindful that the best-qualified candidates may not have the most years of experience, greatest number of publications, or largest number of academic accomplishments. Avoid averaging productive periods across nonproductive periods, such as those required for parental, family or medical leave.
- Avoid using candidate's "fit" as a means to discriminate or reinforce personal biases. The justification of not nominating someone should be based on objective and reasonable grounds. Avoid undervaluing scholarship or research that is nontraditional or unconventional. Committees can acquire the help of experts to assess fields with which they are notfamiliar.

7. Determine long list and short list of candidates as appropriate (see Articles 25.6.1(c & d), 24.1.4 (c & d) and 24.3.2.). The EE Rep will hold candidate self-identification information in confidence but will share this information in accordance with Article 24.3.2 as appropriate. The EE rep will record longlisted and shortlisted candidates in QEAP application
8. Short list candidates are invited to interviews (see Article 25.6.1(e))
    - Request an information package and Provost letter of welcome from the Faculty Recruitment program
    - Arrange a visit with the Faculty Recruitment and Support Co-Ordinator (Monica Stewart) to allow the candidate to ask questions confidentially
    - Ensure candidate meets with the appropriate Senior Faculty Administrator

Equity Best Practice Tips: Interview

- Ensure all parts of the process are accessible. Indicate that the university will respect and adhere to any accommodation needs.
- Prepare the candidate for the interview in advance with information, such as how long the interview will be, who the committee members will be and the types of questions that will be asked.
- Use the visit to promote the university and community. Provide candidates with a chance to have a confidential discussion with staff and/or faculty members not directly involved in the search who can provide information about schools, housing, childcare, places of worship, etc. (e.g. Monica Stewart (Faculty Recruitment and Support Coordinator)).

9. Second round of interviews conducted as needed
10. Candidates are ranked (EE Rep ranks candidates in QEAP application). See Article 24.3.3
11. If the search for a candidate is unsuccessful:
    - Re-advertise. Review/revise the title or area of specialization/research for the position, the required academic/professional qualifications or the rank being advertised for. This can be done within the same hiring cycle, or delay to the next hiring cycle. **Provost approval is required.**
    - **Ensure any changed/extended advertising is documented in case of an LMIA**
    - Deemed a failed search with no intention to re-advertise and position is relinquished. Any requests to reallocate the position within the Faculty requires a formal approval process (off-cycle request)


Appointment of Candidate
Chart 4.1
Other Committee
Provost
Dean
Department Head
Appointments Committee
CRC (conditional offer)
CRC (nonconditional
QU C Cttee reviews/ approves nomination
IF offer is conditional on CRC appointment, wait for external nomination process to be approved
URS will submit
QNS
CRC
Provost Office approves appointment and issues offer of employment letter
Candidate sends signed-back offer letters to provost@queensu.ca
Provost Office distributes letters/ information to Faculty Relations and URS
CRC (nonconditional)
Dean submits written recommendation to Provost
Faculty Office sends offer letter electron cand
Faculty Office sends copies of the letter
Signed-back letter sent to Faculty Office
Data sheet is sent to HR before appointment start date
Department Head submits written recommendation to Dean
Department will announce appointment in For the Record
Committee selects preferred candidate
Candidate appointed in QEAP application
Committee submits written recommendation to Department Head
Competition is closed in QEAP system
END

Steps for Appointment of Candidate

1. Appointments Committee selects preferred candidate based on candidate's application, interview, and feedback from the department (faculty & students). See Article 25.6.1 (e & f). Equity decision tree to be used in selecting preferred candidate (See Article 24.3.3).

FOR HIRING FOREIGN NATIONALS

- LMIA exemptions – require processing through the IRCC Employer Portal
    - CRC and CERC appointments (Chair must be approved for exemption to apply)
    - Citizens of USA
    - Citizens of Chile
    - Citizens of Mexico
    - Francophone individuals (position does not need to require French language)
- LMIA required
    - Citizens of all other countries

Note: Individuals with valid "open" work permits (no employer specified) require no further immigration processes.

1. Ensure salary and startup packages, as well as research support, is comparable across the department (Department to confirm salary range with Faculty Office)

EQUITY BEST PRACTICE TIP: TAKE INTO ACCOUNT DIFFERENT NEGOTIATING STYLES. IT IS IMPORTANT TO REVIEW THE DIFFERENT NEGOTIATING STYLES EMPLOYED BY MEN, WOMEN, AND PERSONS WITH DIFFERENT CULTURAL BACKGROUNDS TO ENSURE THAT THESE DO NOT LEAD TO INEQUITIES.

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2. Preferred candidate is appointed in QEAP application

EQUITY BEST PRACTICE TIP: REVIEW THE FINAL NOMINATION DECISION (AND CHALLENGE IT IF NECESSARY) TO ENSURE UNCONSCIOUS BIAS DID NOT NEGATIVELY IMPACT THE DECISION-MAKING PROCESS AND THAT IT IS ALIGNED WITH THE UNIVERSITY'S EQUITY, DIVERSITY AND INCLUSION ACTION PLAN.

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3. Appointments Committee submits written recommendations to the Department Head, along with the appointment package (see Key Documents below).
4. Department Head submits written recommendation to the Dean with the appointments package
5. **QNS Appointments:** The Dean must submit the full proposal to the QNS Advisory Committee for review and approval
6. **CRC Appointments:** nomination package must be submitted to the QU CRC Exec Cttee for approval
    - **If offer of appointment is conditional on a successful external CRC nomination, the Provost Office will not approve the appointment until the positive external CRC award decision has been received**
7. Dean submits a written recommendation, a draft offer of employment letter, and the appointments package (including the faculty appointments checklist) to the Provost Office

- Information in the Appointments Checklist should match the most recent version of the Permission to Recruit form for that position
- Include salary range based on discipline group and Years of Experience (YOE). Salary ranges must be verified with Academic Compensation during the negotiation process and before the file is submitted to the Provost Office. The salary being offered should fall within the salary range

8. Provost Office reviews the appointments package, approves and finalizes offer letter and sends electronic and paper copy of the offer letter to the Faculty Office for distribution
9. Faculty Office sends offer letter electronically (so the candidate can access the links) and by paper (optional). Faculty Office sends letter to appropriate copies.
10. Candidate signs back their offer letter and sends to provost@queensu.ca. The Provost Office will forward to the Faculty Office
11. **CRC Appointments**: URS will submit a nomination package to TIPS. Decisions are made November 1 or April 30 of each year
12. The Faculty Office will send the following documents to their Human Resources Advisor (CST)
    - Signed offer letter
    - Academic Appointment Form (data sheet)
    - Biographical data sheet
    - Candidates CV
13. The Provost Office will ensure that QUFA receives a copy of the signed back letter
14. The Provost Office will send information about new hires to University Research Services
15. The Department announces the appointment in For the Record
16. The competition is closed in QEAP

Key Documents

Appointments package, including**:**

- Faculty Appointments Checklist
- Draft offer of employment letter
- Dean's recommendation
- Head's recommendation (in departmentalized faculties only)
- Appointment Committee recommendation
- For QNS, Full Proposal required
- The description of search process (may be included in the Appointment Committee recommendation)
- List of all advertising venues/any additional advertising measures taken (may be included in description of search process)
- All advertisements in Canadian venues (including SCREEN SHOTS showing the date first posted and the last day of posting). For foreign nationals, 2 (better 3) Canadian-based advertising venues with documentation as per LMIA requirements
- Foreign Academic Recruitment Summary (only for those requiring an LMIA)
- Letter of application from the recommended candidate
- The candidates CV

- Other documents provided by the candidate (teaching dossier, statement on research etc.)
- Letters of reference
- Letters of assessment collected during search process (faculty & students)
- Copy of Faculty Appointments Summary from QEAP application – ensure the preferred candidate is appointed in QEAP application before summary is submitted to Provost Office
- FOR JOINT APPOINTMENTS – Include MOA regarding personnel procedures including RTP, annual/biennial review, workload, academic leave, etc. signed by all relevant unit heads

CONTACTS:

Appointments Process: contact your Faculty Staffing Officer and/or Amanda LaRose, Office of the Provost (ext. 74569)

Collective Agreement: contact Jada McNaughton or Michael Villeneuve in Faculty Relations Relocation

and immigration: contact Nicole.Honderich, Coordinator, Faculty Recruitment and Support Research:

contact Karen Samis, University Research Services

QNS process: contact Amanda Gilbert, Office of the Vice-Principal (Research)

CRC process: contact Rebecca Kinsella or Mary Purcell in University Research Services

Equity: contact Heidi Penning, Equity Services, Human Rights and Equity Office