

Policy Name: Policy and Procedures Regarding Academic Staff Hiring at Carleton University

Originating/Responsible Department: Office of the Provost and Vice-President (Academic)

Approval Authority: Academic and Research Committee

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Contact: Office of the Provost and Vice-President (Academic)

Definitions:

Department or Faculty Board: The formal governance body of the academic unit, either a Department Board in the case of departments or a Faculty Board in the case of Schools.

Faculties and Library: Throughout this policy, for the purposes of hiring, this term refers to the Faculty of Arts and Social Sciences, the Faculty of Engineering and Design, the Faculty of Public Affairs, the Faculty of Science, the Sprott School of Business, and the University Library.

Hiring Committee: The committee appointed by the Dean/Librarian to conduct the hiring process within the appropriate academic unit.

Permanent Resident: A permanent resident is someone who has acquired permanent resident status by immigrating to Canada, but is not yet a Canadian citizen. Permanent residents have rights and privileges in Canada even though they remain citizens of their home country. In order to maintain permanent resident status, they must fulfill specified residency obligations (in accordance with Citizenship and Immigration Canada).

Short List: The list of candidates that is submitted to the Faculty Dean/University Librarian to be interviewed by the Hiring Committee.

Work Permit: A Canadian work permit is a temporary resident visa issued by Citizenship and Immigration Canada to grant permission to foreign workers to engage in employment in Canada.

Policy:

Responsibility for Hiring

Faculty, instructors, and librarian hiring is a collective responsibility that pursues the goal of retaining the best teachers, scholars, researchers, and librarians who will contribute to the university's academic mission and strategic plans.

The Provost and Vice-President (Academic) is the Academic Hiring Officer, and performs this role in collaboration with the President, Vice-Presidents, Deans, and the University Librarian. The Provost

provides operational assistance in the recruitment process through the Manager of Faculty Affairs and, for New Faculty Orientation, through the Office of the Associate Vice-President (Teaching and Learning). The Department of Human Resources is responsible for the documentation of new academic staff and payroll.

Deans and the University Librarian have responsibility for the management of Faculty (including the Sprott School of Business) and Library resources. This includes: subject to the guidance of the Provost and the Financial Planning Group, determining the allocation of positions within their Faculty/Library; overseeing and participating in hiring; ensuring that proposed new hires meet the criteria for the position and appropriate Faculty/Library and university standards; and ensuring that new faculty/instructors/librarians are welcomed, oriented, and mentored.

Faculty members and academic units, through their Chair or Director, and the University Library Peer Evaluation Committee have primary responsibility for identifying and recommending candidates who will meet the University's hiring goals.

Responsibility for the integrity and probity of the recruitment process is distributed in accordance with these roles.

The University reserves the right to check the validity and authenticity of any information or documentation submitted by candidates during the conduct of a search, and the submission of false information or documentation may result in removal of candidacy or revoking an appointment or offer of appointment.

In addition to these policies, adherence to the Collective Agreements between Carleton University and employees is also required.

Purpose:

Operational Principles and Policies

Carleton University recognizes that there is valid variation in recruitment and hiring practices across Faculties/Library and among academic units. Nonetheless, the operational principles that are defined within this policy apply across the university.

Scope:

This policy applies to hiring of all full-time academic staff (faculty, instructors, and librarians) in Faculties and the University Library at Carleton University.

Procedures:

1. Hiring Committees:

Note: Paragraphs 1, 2, 6, and 8 below apply to librarian hiring committees.

- 1.1 The hiring committee is responsible for carriage of the hiring process within their program or academic unit. The hiring committee is responsible to advise the Dean/University Librarian regarding candidate selection. In Faculties, the Dean appoints the hiring committee upon recommendation by the unit. In the Sprott School of Business and the Library, the Dean/University Librarian appoints the hiring committee. The hiring committee shall in all cases reflect the values represented in Carleton's Human Rights policies and procedures and shall at all times observe and respect the highest equitable standards, including standards with respect to

bias and the fairness of all deliberations and investigations. In addition, hiring committee members will familiarize themselves with the provisions in the Collective Agreement between Carleton University and the Carleton University Academic Staff Association.

- 1.2 The hiring committee should be established as soon as the position is approved. The process for selection of members should be fair, transparent and objective, and communicated within the academic unit. Each hiring committee should have representation from tenured/confirmed and preliminary faculty/librarians and from various fields/sub-disciplines represented in the unit or program. Each hiring committee shall have at least one male and one female member, and all reasonable efforts should be made to assemble a hiring committee that reflects the composition of the University community at large in terms of gender, visible minority and aboriginal status, and disability. The process for selecting the members of the hiring committee must be approved by the unit's Department or Faculty Board as appropriate. The Librarian appointment procedures are set out in Article 9.7 of the Collective Agreement between Carleton University and the Carleton University Academic Staff Association.
- 1.3 In accordance with the Academic Governance of the University document (approved by the Board of Governors, June 21, 2011), student members of Department and Faculty Boards shall take part in deciding how the academic unit is to arrive at its recommendation to the Dean, and students may participate in the open portions of the hiring process (such as candidate presentations to the unit members. However, students are not members of the formal hiring committee and may not participate in the decision and deliberations of a faculty hiring committee. Alumni and support staff may participate in the open portions of the hiring process, but are not members of the formal hiring committee.
- 1.4 Each hiring committee shall have a faculty member from another academic unit, teaching area group (in the case of Sprott), or section (in the case of the library). The Dean/University shall appoint this individual, upon recommendation (except in the case of Sprott) of the unit Chair, Director, or Head. This external member shall have full participation and voting rights.
- 1.5 In some circumstances, units may wish to have a representative external to Carleton on the hiring committee. In such cases, the Dean should approve the proposed external member(s) and the method of invitation. Under no circumstances should an external donor or representative of an external donor to the program be eligible to serve on a hiring committee.
- 1.6 At the first meeting, the hiring committee shall review the "Employment Equity in Recruitment and Selection for Academic Appointments at Carleton" guide and members of the committee will familiarize themselves with the relevant information. The guide can be found on the Equity Services website. The Director of Equity Services will be available to answer questions if they arise during the search process. Also at the first meeting, the hiring committee chair shall present committee members with a Confidentiality and Conflict of Interest statement to be signed that outlines the conditions of service as a committee member. Regarding conflicts of interest, the following definition of conflict of interest will be used:
A conflict of interest refers to a situation where financial, professional or other personal considerations may compromise or have the appearance of compromising an individual's professional judgment in the performance of his or her duties or in the exercise of his or her fiduciary obligations as a member of a faculty hiring committee.

- 1.7 Once a hiring committee is established, its membership shall be deemed fixed. If a member resigns during the hiring process, he/she shall not be replaced. If a significant minority or a majority of the committee resigns, the Chair shall advise the Dean who will determine if the search should continue.
- 1.8 Normally, the Chair/Director or a designate of the academic unit or the Dean of Sprott shall be responsible for ensuring that a hiring committee is struck. In the case of the Library, the University Librarian ensures that a hiring committee is struck and appoints the Department Head or Associate University Librarian as Chair.

2. Advertising

- 2.1 Advertising for faculty positions must be in accordance with the Collective Agreement between Carleton University and the Carleton University Academic Staff Association. Faculty positions must be advertised in the AUCC University Affairs, the CAUT Bulletin, and on Carleton's Faculty Affairs website. A sample formal advertisement template is available on the website.
- 2.2 In addition, in accordance with Carleton's Employment Equity Policy, each hiring committee shall reach out to a diverse pool of applicants including applicants from the four designated groups (women, Aboriginal peoples, persons with disabilities, and racial or visible minorities) and each hiring committee is encouraged to consider other opportunities to place this advertisement in locations that will reach a diverse pool of applicants. Advertisements prepared for other publications (ie. not AUCC and CAUT) may be shorter and it is recommended that they include a link to the full advertisement posted on the Faculty Recruitment and Support website.
- 2.3 When a faculty position is not advertised, in accordance with the provisions of the Collective Agreement between Carleton University and the Carleton University Academic Staff Association, the Contrary to Advertising form must be completed and reported in writing to the Carleton University Academic Staff Association and Senate within ten (10 working days).

3. Confidentiality and Access to Candidate Files

- 3.1 Normally, a candidate's dossier includes: a letter of application, *curriculum vitae*, referees' letters, and related materials such as, a teaching dossier, publications, portfolio samples, etc. These materials should be deemed secure and made available to members of the hiring committee on the understanding of confidence.
- 3.2 Any other documents available in the public domain may be circulated freely. Furthermore, candidates should be informed that their CV and any other public documents may be made available to members of the academic unit and the University Community. At the same time, a candidate may choose to allow the hiring committee to circulate any other documents within his/her dossier.
- 3.3 The Faculty Dean(s)/University Librarian and Provost shall also have access to each candidate's file.
- 3.4 Under no circumstances shall these materials be circulated more widely. FIPPA regulations shall be respected (For more information, please see the Carleton University Privacy Office website). If a candidate releases materials for broader distribution, this should not be prejudicial to the candidacy of others who chose not to do so.

4. Shortlists

- 4.1 The hiring committee is responsible for preparing a shortlist of candidates and recommending that shortlist to the responsible Dean(s)/University Librarian. The Dean(s)/University Librarian shall advise the hiring committee that the shortlist has been approved, approved with modifications or rejected. Normally the shortlist shall consist of three candidates, although there may be an expanded shortlist, with approval by the Dean(s)/University Librarian. Once established, the shortlist is a fixed document. Normally, candidates should not be added subsequently. In exceptional circumstances, the Dean/University Librarian may authorize the addition or replacement of a candidate to the short list.
- 4.2 A copy of the shortlist of candidates must be forwarded to the Manager of Faculty Affairs in the Office of the Provost and Vice-President (Academic) so that a Carleton information package, including information from CUASA as per Article 9.1(c) of the Collective Agreement, is sent to each shortlisted candidate.
- 4.3 In a circumstance where none of the candidates identified on the shortlist is able to accept an appointment at Carleton, the hiring committee may consider subsequent candidates and establish another shortlist with the approval of the Dean.

5. Candidate Visits

- 5.1 For any competition, the core itinerary for candidate visits shall be identical for all candidates. At a minimum, the candidate visit may include:
- a. a formal interview with the hiring committee, at which the same questions are asked of each candidate;
 - b. a teaching demonstration (if possible);
 - c. a public presentation of the candidate's research or other scholarly activity (as appropriate);
 - d. an opportunity to meet with other faculty colleagues;
 - e. an opportunity to meet with students;
 - f. a meeting with the Departmental Board and Management Committees (as appropriate);
 - g. a private meeting with the unit/program Chair/Director;
 - h. a meeting with the hiring Dean or designated representative;
 - i. an offer of a visit to the Carleton University Academic Staff Association office (if the candidate desires).

Note: Points a, c, d, and f above pertain to librarian candidate visits.

- 5.2 Other activities are encouraged, such as: informal social events, a meeting with the Manager of Faculty Affairs, a meeting with a representative of the Library, a meeting with a representative of Office of the Associate Vice-President (Teaching and Learning), and a campus tour, as time permits. The candidate visits are as much about making Carleton attractive to the candidate as they are an opportunity for the candidate to put his/her best foot forward.
- 5.3 Expenses associated with such visits shall be discussed and approved in advance with the Faculty Dean/University Librarian.

6. Candidate Selection

Note: Paragraphs 1 and 3 below do not pertain to Library Hiring Committees.

6.1 It is the responsibility of the hiring committee to recommend a candidate to the Dean. Normally, the hiring committee shall present the Dean with a rank-order shortlist of acceptable candidates from among those on the shortlist.

6.1.1 This responsibility is vested in the hiring committee on the understanding that, individually and collectively, committee members will have participated in every aspect of the hiring process. The hiring committee performs this function as a trustee, on behalf of the academic unit or program. Others within the unit or program may be consulted, but shall have no formal veto over the decision of the hiring committee to recommend a candidate.

6.1.2 After consultation within and, if appropriate, beyond the academic unit, the final recommendation shall be made by the hiring committee and submitted to the Dean by the Chair of the Hiring Committee.

6.2 A report on the hiring procedure used by the committee should accompany its recommendation to the Dean.

6.2.1 In the situation where the recommended candidate is neither a Canadian citizen nor a permanent resident, the report will state why the qualifications of the recommended candidate are demonstrably superior to those of candidates who are Canadian or permanent residents on the short list, in accordance with Article 9.2 of the Collective Agreement.

6.2.2 In the situation where a term appointee employed by the University is a candidate, but is not the recommended candidate, the report will state why the qualifications and experience of the external candidate are demonstrably superior for the position than those of the term appointee, in accordance with Article 37.6 of the Collective Agreement.

6.2.3 Please note that, in accordance with Article 9.3(c) of the Collective Agreement, where the qualifications of two candidates for appointment are demonstrably equal, and one of these candidates is a member of a designated group that is under-represented in the unit(s) or sub-unit(s), then all else being equal, the candidate of the under-represented group should be offered the position.

6.3 The hiring committee is advisory to the Dean, who may: accept its recommendation; request further information before acceptance; select another candidate from among the ranked acceptable candidates; or (in extremely rare circumstances) reject the recommendation of the hiring committee completely. In these latter two cases, the Dean(s) shall inform the Provost and hiring committee of the rationale for the deviation from the original hiring committee recommendation.

7. Appointment and Acceptance Procedures

7.1 Upon completing internal formalities, the Dean/University Librarian is responsible for negotiations with the recommended candidate regarding salary, teaching load, research start-up, relocation package and related matters. These are defined as the "Informal Terms of Negotiation" and the Dean/University Librarian will make it clear that any discussions with the recommended candidate do not constitute a formal offer of employment or appointment, and that such an offer can only come in writing from the Provost and Vice-President (Academic). Upon conclusion, the "Informal Terms of Negotiation" will be set out in writing for the candidate's acceptance by a date deemed

appropriate by the Dean/University Librarian. The candidate is free to discuss the terms of negotiation with the Chair/Director of the hiring unit/program and with others as (s)he wishes, but these discussions have no formal carriage in the hiring process.

7.2 The Provost and Vice-President (Academic) is the formal Academic Hiring Officer, and receives the recommendation of appointment along with the informal terms of negotiation from the Dean/University Librarian. If the Provost and Vice-President (Academic) accepts the recommendation from the Dean/University Librarian, then a formal, signed written Offer of Appointment is sent to the candidate. The formal Offer of Appointment includes a letter of offer accompanied by the Terms of Appointment which the candidate is asked to sign and return by an appropriate date as determined by the Provost and Vice-President (Academic). The Terms of Appointment subsumes the "Informal Terms of Negotiation" and adds material related to university employment policies and expectations.

7.3 Successful candidates must be Canadian citizens or permanent residents or, in the case of a non-Canadian citizen or resident being appointed, must obtain the necessary work authorization. All employees at Carleton must hold the necessary work authorization from Citizenship and Immigration Canada (CIC) to be eligible to work in Canada and must abide by the terms and conditions therein. Responsibility to ensure that immigration documentation is valid and up-to-date is the responsibility of the employee. The employee is also responsible for the accuracy and truthfulness of all statements made in their application. No employee may take up employment at Carleton without the appropriate work authorization, and that authorization must be maintained at all times for employment to continue. Should an academic staff member lose their authorization to work in Canada for any reason whatsoever, any employment agreement (including a tenured appointment) will cease on the effective date that authorization expires or is terminated. The employee is responsible for providing documentation to support his/her ability to work in Canada upon request. The employee is responsible for all costs associated with obtaining work permit or permanent resident status in Canada.

8. *New Faculty Orientation and Mentoring*

8.1 The hiring unit/program should make every effort to make new faculty/instructors/librarians welcome and facilitate their orientation to Carleton. New academic staff are encouraged to participate in the New Faculty Orientation provided by the Office of the Associate Vice-President (Teaching and Learning) and Deans' Offices. The Manager of Faculty Affairs should be used as a resource to facilitate new faculty/instructors/librarians settling in at Carleton and in the Ottawa area.

8.2 Chairs/Directors and Deans/University Librarian have a particular responsibility to mentor new faculty/instructors/librarians. This includes, but may not be limited to, providing advice on teaching, research, tenure/confirmation, and promotion. To the extent possible, Chairs/Directors/Deans/ University Librarian should attempt to help new faculty, instructors, and librarians make contact with local networks and resources that might relate to their teaching or research interests.

8.3 As the university's Academic Hiring Officer, the Provost and Vice-President (Academic) supports mentoring activities for new faculty/instructors/librarians..

Contacts:

Provost and Vice-President (Academic)

Associate Vice-President (Teaching and Learning)

Deans

University Librarian

Chairs/Directors

Manager, Faculty Affairs, Office of the Provost and Vice-President (Academic)

Links to Related Policies, Procedures, Documents:

The most recent related policies, procedures, and documents can be found in the Faculty Affairs Toolkit (cuLearn)*

Collective Agreements between Carleton University and employees (HR website)

*Please request access from the Manager, Faculty Affairs