



Canada's Capital University

<b>Policy Name:</b>	Policy and Procedures Regarding Academic Staff Hiring at Carleton University
<b>Originating/Responsible Department:</b>	Office of the Provost and Vice-President (Academic)
<b>Approval Authority:</b>	Academic and Research Committee
<b>Date of Original Policy:</b>	September 2013
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<b>Contact:</b>	Office of the Provost and Vice-President (Academic)

**Definitions:**

**Canada Research Chair (CRC):** A research-focussed professorship funded by the Government of Canada's Canada Research Chairs Program and administered through the Tri-Agency Institutional Programs Secretariat (TIPS). It is awarded by TIPS upon successful peer review and approval of the candidate's nomination submitted by Carleton University. The hiring process for CRCs must comply with the University's policies and procedures as well as additional requirements established by the CRC Program as administered by the Office of the Vice-President (Research and International) (OVPRI) and the Carleton Office of Research Initiatives and Services (CORIS) as amended from time to time.

**Academic Unit Faculty Board:** The formal governance body of the academic unit. Academic Units include: Departments, Institutes, Centres, Schools, and Colleges.

**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 been given permanent resident status by immigrating to Canada, but is not yet a Canadian citizen. Permanent residents are citizens of other countries. In order to maintain permanent resident status, they must fulfill specified residency obligations in accordance with Immigration, Refugee, and Citizenship Canada (IRCC).

**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 document issued by IRCC that authorizes a person to work legally in Canada. It sets out conditions for the worker such as: the type of work they can do, the employer they can work for, where they can work, and how long they can work.

**Policy:**

**Responsibility for Hiring**

Faculty, instructor, 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.

The Vice-President (Research and International), on behalf of the President, administers Carleton's Canada Research Chairs allocation, and in consultation with the Provost and Vice-President (Academic) approves all potential Canada Research Chair appointments. OVPRI also provides operational support for research through CORIS.

Deans and the University Librarian have responsibility for the management of Faculty and of Library resources, respectively. This includes: subject to the guidance of the Provost and the Provost's Budget Working 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 librarians through the University Librarian 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 and part-time academic staff (faculty, instructors, and librarians) in Faculties and the University Library at Carleton University.

## **Procedures:**

### **1. Hiring Committee**

- 1.1 The hiring committee is responsible for carriage of the hiring process within their program or academic unit or the Library. The hiring committee is responsible to advise the Dean regarding candidate selection. In the Library, the hiring committee is responsible to advise the Peer Evaluation Committee, which is responsible for advising the University Librarian regarding candidate selection. In Faculties, the Dean appoints the hiring committee upon recommendation by the unit. In the Sprott School of Business, the Dean appoints the hiring committee. In the Library, the University Librarian appoints the hiring committee upon the recommendation of the Peer Evaluation Committee.
- 1.2 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 equitable standards, including standards with respect to bias and the fairness of all deliberations. As applicable, the hiring committee will also be expected to meet all requirements of the CRC program as communicated by CORIS as amended from time to time.
- 1.3 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 as well as the University Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment and the guidelines on the retention and disposal of faculty personnel records.
- 1.4 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 (in the case of units) from various fields/sub-disciplines represented in the unit or program.
  - 1.4.1 Each hiring committee shall have gender diversity. At a minimum, each hiring committee shall include one individual from one of the four designated groups noted below. Furthermore, 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, racialized/visible minority and Indigenous status, and disability. In addition, the hiring committee chair will ensure that equity, diversity, and inclusion are considered in all aspects of the committee's work.
  - 1.4.2 The process for selecting the members of the hiring committee must be approved by the Academic Unit's Faculty Board as appropriate and shall consider the factors in 1.4. 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.
  - 1.4.3 In accordance with the Academic Governance of the University document (approved by the Board of Governors and Senate), student members of Academic Unit 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). In all cases, students are not members of the formal hiring committee and may not participate in the decision and deliberations of a faculty or librarian 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.

- 1.4.4 Each hiring committee shall have a faculty member from another academic unit or teaching area group (in the case of Sprott). The Dean 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.
- 1.4.5 In some circumstances, units may wish to have a representative external to Carleton on the hiring committee. In such cases, the Dean/University Librarian 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.
- 1.5 At the first meeting, the hiring committee shall review Carleton's Employment Equity Policy (part of the Human Rights Policy and Procedures) and members of the committee will familiarize themselves with the relevant information. As applicable, the hiring committee will also be expected to complete additional training and meet all requirements of the CRC program as communicated by CORIS as amended from time to time.
- 1.6 The hiring committee should allocate time to collectively reflect and discuss representation within their Faculty/academic unit and how this can inform the hiring process. In addition, in accordance with Carleton's Employment Equity Policy, all hiring committee members are expected to complete equity training biennially. Training is coordinated by the Department of Equity and Inclusive Communities and Faculty Affairs (Office of the Deputy Provost). The Director of Equity and Inclusive Communities and the Manager, Faculty Affairs will be available to answer questions if they arise during the search process. As applicable, the hiring committee will also be expected to review guidelines and meet all requirements of the CRC program as communicated by CORIS as amended from time to time.
- 1.7 Also, at the first meeting, the hiring committee chair shall present committee members with a Confidentiality Acknowledgement to be signed that outlines the conditions of service as a committee member. In accordance with the Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment, 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.*
- 1.8 Once a hiring committee is established, its membership shall be deemed fixed. If a member resigns during the hiring process, he/she shall not normally be replaced. If a significant minority or a majority of the committee resigns, the Chair shall advise the Dean/University Librarian who will determine if the search should continue. In exceptional circumstances, the Dean/University Librarian can authorize the replacement of committee members who have resigned.
- 1.9 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, the Partnership Board (for the Library) and on Carleton's Faculty Affairs website. A sample formal advertisement template is available from Faculty Affairs. Additional advertising requirements may apply for CRC positions as directed by CORIS as amended from time to time.
- 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, Indigenous peoples, persons with disabilities, and racialized or visible minorities) as well as such other groups as are recognized by the Ontario Human Rights Code. 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 Affairs 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 by the Manager, Faculty Affairs (Office of the Deputy Provost) 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 application file includes: a letter of application, *curriculum vitae*, referees' letters, and related materials such as, a teaching profile, publications, portfolio samples, etc. These materials should be deemed secure and made available to members of the hiring committee on the understanding that confidentiality will be maintained.
- 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 their application file.
- 3.3 The Faculty Dean(s)/University Librarian, Provost, and Vice-President (Research and International) 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(s)/University Librarian may authorize the addition or replacement of candidates to the short list. For all CRC positions, the shortlist must also be approved by the Vice-President (Research and International) or designate.

4.2 A copy of the shortlist of candidates must be forwarded to the Manager of Faculty Affairs in the Office of the Deputy Provost 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(s)/University Librarian.

## 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) or, in the case of the Library, a topic decided upon by the hiring committee;
- 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) or, in the case of the Library, the home Department;
- g. a private meeting with the unit/program Chair/Director;
- h. a meeting with the hiring Dean or designated representative;
- i. a meeting with the Vice-President (Research and International) or designate (if CRC);
- j. a meeting with the Manager, Faculty Affairs (if the candidate desires);
- k. an offer of a visit to the Carleton University Academic Staff Association office (if the candidate desires).

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

5.2 Other activities are encouraged, such as: informal social events, 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 their 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

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. In the Library, the hiring committee is responsible to advise the Peer Evaluation Committee which is responsible for advising the University Librarian regarding candidate selection.

- 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 the recommendation to the Dean/University Librarian.
  - 6.2.1 In the situation where the recommended candidate is being hired for a CRC position or holds American or Mexican citizenship, the report will state why the qualifications of the recommended candidate are demonstrably superior to those of all candidates who are Canadian or permanent residents, in accordance with Article 9.2 of the Collective Agreement.
  - 6.2.2 In the situation where the recommended candidate is neither a Canadian citizen nor a permanent resident and 6.2.1 does not apply, the report will state why all Canadian and permanent resident applicants are not qualified based on the advertisement requirements of the position in accordance with IRCC.
  - 6.2.3 In the situation where a term appointee (faculty, instructor, or librarian) 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 36.6 of the Collective Agreement.
  - 6.2.4 In addition, where an instructor employed by the University is a candidate for a faculty position, 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 instructor appointee, in accordance with Article 12.4 of the Collective Agreement.
  - 6.2.5 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, or, in the case of the Library, to the PEC which is advisory to the University Librarian 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)/University Librarian 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 responsibilities, research start-up funding, 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 IRCC 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 their ability to work in Canada upon request. The employee is responsible for all costs associated with obtaining a 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), as well as orientations provided by the Office of the Vice-President (Research and International) as applicable 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:**

Manager, Faculty Affairs, Office of the Deputy Provost (Academic Operations and Planning)  
Provost and Vice-President (Academic)  
Vice-President (Research and International)  
Associate Vice-President (Teaching and Learning) Deans  
University Librarian Chairs/Directors  
Director, Equity and Inclusive Communities  
Carleton Office of Research Initiatives and Services

**Links to Related Policies, Procedures, Documents:**

Additional tools and resources may be found in the Faculty Affairs Toolkit\*  
Collective Agreements between Carleton University and employees (HR website)  
Carleton University Canada Research Chairs Program (CRCP) Equity, Diversity, and Inclusion Action Plan  
Carleton University Human Rights Policy and Procedures  
Carleton University Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment  
\*Please request access from the Manager, Faculty Affairs