PROMOTION AND CONTINUING APPOINTMENT GUIDE FOR THE UNIVERSITY LIBRARIAN/DEANS AND ADMINISTRATIVE STAFF IN THE UL/DEANS' OFFICES

An Aid for the Implementation of the
Librarians and Archivists Collective Agreement,
Promotion and Continuing Appointment Article

2011-2015

The purpose of this Promotion and Continuing Appointment Guide is to assist the University Librarian's and Deans' Offices in the administrative compilation of Promotion and/or Continuing Appointment Files for presentation to the Committee on Promotion and Continuing Appointment and subsequently to the Provost. This Guide is only meant to aid in the implementation of, not alter, the terms and provisions of the Librarians and Archivists Collective Agreement In cases of dispute, the language of the Librarians and Archivists Collective Agreement will prevail.

Office of Faculty Relations
2013

Clause references in this guide are to the *Promotion and Continuing Appointment* Article unless otherwise indicated.

IMPORTANT REMINDERS

File Management:

- Clause 5.1 requires the addition of all items for the Promotion and/or Continuing Appointment File (hereafter the File) be completed at least one week prior to the first meeting of the Committee on Promotion and Continuing Appointment (hereafter the P&CA Committee or the Committee).

- Once the Table of Contents has been signed by the Member, no further documentation may be added to the File unless: (1) there is mutual agreement between the Member and the UL/Dean; or (2) a late external referee letter is received before the P&CA Committee has commenced its deliberations. In the latter case the late letter is added to the File and the Member has three (3) working days in which to examine and copy the letter and add any relevant written submissions to the File (Clauses 6.1 and 6.2).

- Any addenda to the File (e.g., last minute update to a cv) must be dated.

- Please refer to Clause 4.13 for the requirement to include stenographic or other notes. These notes MUST be sanitized when reviewed by the candidate.

- A Member may withdraw his/her File at any time prior to the Committee's formulation of a recommendation (Clause 6.5). If the candidate is a Probationary Member in his/her final year, the candidate will be terminated at the end of his or her Probationary Appointment (Clause 6.6).

Membership:

- A careful read of the *Conflict of Interest and Conflict of Commitment* Article is required.

- If a member of the Committee has a conflict of interest as described in the *Conflict of Interest and Conflict of Commitment* Article, the member must withdraw (i.e., not be present for any discussion of the case or the vote) from the consideration of the relevant case and shall be replaced by the alternate member (Clause 4.9). This requirement should be pointed out to members of the Committee as soon as the roster of candidates is finalized in order to assess whether or not the alternate member will be needed.

- If a member of the Committee is to be considered for Promotion, that member must retire from the Committee during that Academic Year and shall be replaced by the alternate member and a new alternate Member shall be elected (Clause 4.8). Should the University Librarian or designate from Western Libraries as chair of the Committee have a conflict of interest, the Provost shall appoint a replacement (Clause 4.9).

- Where the candidate being considered is from a Unit that is not part of Western Libraries, the Dean of that Unit may elect to be a member of the Committee or appoint a designate to the Committee. The Dean or designate shall be without vote. (Clause 4.1.1)

- It is highly recommended that there be 3 opportunities for Committee members (and potential Committee members) to confirm their eligibility to sit on the P&CA Committee: (1) when approached by or on behalf of any nominating committee; (2) over the summer after the Committee members have been elected and prior to any Committee involvement (this would identify those who might have just been appointed in an Administrative Role (or Acting Administrative Role); and (3) at the first meeting of the Committee.

Meetings:

- At the first meeting of the Committee, the P&CA Committee chair should:

    - canvas the members to ensure they remain eligible to sit on the Committee, as circumstances may have changed since they were elected;
    - stress to the members the importance of regular attendance at these meetings, even if this means rescheduling other commitments; and
    - review the Employment Equity Guide in detail.

- All Committee members present for the vote, must vote, even if a member has not been present at all previous meetings to consider the File. No member present may abstain (Clause 4.10). Proxy voting is not permitted. Note: the UL or designate from Western Libraries who chairs the Committee shall not vote except to break a tie (Clause 4.1 a).

- A quorum is defined as two-thirds (2/3) of the Committee plus the chair of the P&CA Committee (Clause 4.6).

Recommendations:

- The Committee shall discuss the recommendation letter's content, and a member of the Committee other than the chair, who has been elected by members of the Committee, shall draft the letter and shall make it available to Committee members to sign and acknowledge it is an accurate rendering of the Committee's decision(Clause 20) (This can be done electronically.)

- To show clearly that each member of the Committee has been provided with the opportunity to sign the recommendation (Clause 20), list each Committee member's name at the end of the recommendation and provide a space for his/her signature. If the member was absent for the vote or declared a conflict, include a notation to that effect on the signature line. In the case of conflict, add the alternate member's name to the list. If the member was present for the vote but away at the time of signing the letter, an e-mail from the member indicating his/her acknowledgement that the electronic copy of the recommendation is an accurate rendering of the Committee's decision must be added to the File.

- The candidate may request a copy of any document in his or her File (Clause 6.4). Please ensure these documents are sanitized when provided to the candidate in the same way as external referee reports are sanitized.

- A copy of the recommendation of the Committee shall be sent to the Member and the Member's immediate supervisor by the chair of the Committee (Clause 20.1).

Presentation of the File:

- Please avoid using plastic sleeves in the P&CA File where possible.

- If an external referee submits an evaluation by e-mail, please follow-up to ensure that an original hard copy is placed in the File.

Provisions for Continuing Appointment:

- By November 15 of each year, the University Librarian or Dean, in consultation with each Member's immediate supervisor, shall review each Member's Promotion and Continuing Appointment File. The University Librarian or Dean shall prepare a list of all Members eligible for consideration for a Continuing Appointment in the next Academic Year and shall submit the list to the Committee on Promotion and Continuing Appointment. (Clause 7)

- For a Member holding a Probationary Appointment at Assistant Rank or higher, the University Librarian or Dean shall initiate consideration for a Continuing Appointment within the first month of the final nine (9) months of the Member's probationary period and shall, at the same time, initiate the public solicitation for comments on the Member's performance as specified in Clause 5.1 e). The University Librarian or Dean shall inform the Member, in writing, of the initiation for consideration of Continuing Appointment and the documents the Member is required to submit as specified in Clause 5.1. (Clause 7.1)

- For a Member holding a Probationary Appointment at Associate or Senior Rank, the University Librarian or Dean may initiate consideration for a Continuing Appointment, at any time prior to the final nine (9) months of the Probationary Appointment, by inviting the Member, in writing by January 1, to apply (Clause7.2). If the Member accepts the invitation he or she must submit items specified in Clause 5.1 a), 5.1 f) (iii) and 5.1 g) within four (4) weeks of receipt of the invitation. The University Librarian or Dean shall acknowledge, in writing, receipt of the items and at the same time shall initiate the public solicitation for comments on the Member's performance as specified in Clause 5.1 e). (Clause 7.2.1)

- A Member holding a Probationary Appointment at Assistant rank, or above, who believes he or she has met the relevant criteria as outline in Clauses 11 and 12 may request that considerations for Continuing Appointment be started in the second or third year of her or his appointment or promotion to his or her current Rank. Such a request must be made in writing to the University Librarian or Dean during the month of January and must be accompanied by the items referred to in Clauses 5.1 a), 5.1 f) (iii) and 5.1 g). The University Librarian or Dean shall acknowledge in writing the receipt of the request and accompanying items by March 1. The University Librarian or Dean shall, at the appropriate time, initiate public solicitation for comments on the Member's performance as specified in Clause 5.1 e). The public solicitation shall be initiated no later than the first month of the second or third year of the Member's probationary period, and no later than the first month of the final nine (9) months of the Member's probationary period. (Clause 7.3).The Member requesting this early consideration may consult with his or her supervisor and/or the University Librarian or Dean before requesting such consideration (Clause7.3.1).

- In the case of early consideration for Continuing Appointment, if the Committee does not recommend Continuing Appointment, the Member's Promotion and Continuing Appointment File shall continue, except that the Member may choose either to include all letters or to exclude all letters from external referees obtained in accord with Clause 5.1 f) and applicable to this initial considerations for Continuing Appointment. The Committee's recommendation shall be placed in the File and the Member shall be considered again by the Committee once only, and in the final year the Probationary Appointment (Clause7.3.2).

- Candidates may also solicit letters of recommendation, which shall be sent directly to the University Librarian or Dean (Clause 5.1 d).

Provisions for Promotion

- By November 15 of each year, the University Librarian or Dean, in consultation with each Member's immediate supervisor, shall review each Member's Promotion and Continuing Appointment File. The University Librarian or Dean shall prepare a list of all Members eligible for consideration for a Promotion in the next Academic Year and shall submit the list to the Committee on Promotion and Continuing Appointment. (Clause 8)

- For a Member holding a Probationary Appointment at the General Rank, the University Librarian or Dean shall initiate consideration for promotion to a probationary appointment at the Assistant Rank within the first month of the final nine (9) months of the Member's probationary period at the General Rank and shall, at the same time, initiate the public solicitation for comments on the Member's performance as specified in Clause 5.1 e). The University Librarian or Dean shall inform the Member, in writing, of the initiation for consideration for Promotion and the documents required in Clauses 5.1 a), and 5.1 g) and the Member must supply these items within four (4) weeks of the invitation. The University Librarian or Dean may extend this period in the event that circumstances beyond the Member's control make it impossible to respond within the four (4) week period. (Clause 8.1)

- If the University Librarian or Dean, in consultation with the Member's immediate supervisor, determines that consideration for Promotion to a higher Rank may be initiated, the University Librarian or Dean shall, by January 1, invite the Member to submit the items referred to in Clauses 5.1 a), 5.1 f)(iii), and 5.1 g).to be considered in the next Academic Year. (Clause 8.2) If the Member accepts the invitation, he or she shall supply the required items within four (4) weeks of the invitation. The University Librarian or Dean shall acknowledge receipt of the items in writing to the Member by March 1 and shall, at the same time, initiate public solicitation for comments on the Member's performance as specified in Clause 5.1 e). (Clause 8.2.1) If the Member declines the invitation or does not supply the items within four (4) weeks of the invitation, the Member shall not be considered for Promotion at this time. The Member may subsequently request consideration for promotion, but no earlier than one year from the last invitation or request. (Clause 8.2.2) A Member at Assistant rank or Associate rank may request consideration for Promotion be started. Such a request must be made in writing to the University Librarian or Dean during the month of January and must be accompanied by the items referred to in Clauses 5.1 a), 5.1 f) (iii) and 5.1 g). The Member shall, at the same time, also notify her or his immediate supervisor that he or she has applied for Promotion. The University Librarian or Dean shall acknowledge in writing the receipt of the request and accompanying items by March 1. The University Librarian or Dean shall, at the same time, initiate public solicitation for comments on the Member's performance as specified in Clause 5.1 e). The acknowledgement shall indicate the Member's File shall be considered by the Committee in the next Academic Year.(Clause 8.3)

[Date]

Dear [Member]

Following consultation with your immediate supervisor, [name], I would like to invite you to be considered for Promotion to a higher Rank in accordance with Clause 8.2 of the *Promotion and Continuing Appointment* Article.

If you accept this invitation, I will need your assistance preparing your Promotion File for the consideration of the Committee on Promotion and Continuing Appointment. In doing so, I will need the following documentation from you within the four (4) weeks:

a) an updated curriculum vitae;

b) any letters of recommendation solicited by you, which shall be sent directly to the [UL/Dean];

c) a list of [Number of referees] arm's length referees, at least [Number] of whom are external to the Bargaining Unit or the University, which shall include a description of the qualifications of each referee, the areas of your Responsibilities on which the referee might be expected to comment, and any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of your performance; and

d) any written submissions from you relevant to the case.

In accordance with Clause 6 of the *Promotion and Continuing Appointment* Article, you shall be given advance notice of when the File will be ready for review, and you shall have at least two (2) working days to complete the review and sign the table of contents.

Should you decide to decline this invitation or do not supply the documents listed above within the specified timeline (or without an approved extension), you will not be considered for Promotion at this time.

Sincerely,

(UL/Dean)

c: Immediate Supervisor
Official File

SAMPLE UNIVERSITY LIBRARIAN/DEAN'S LETTER REQUESTING ITEMS FROM A PROBATIONARY MEMBER, FOR P&CA CONSIDERATION, EITHER IN THE FIRST MONTH OF THE FINAL NINE (9) MONTHS AT THE GENERAL RANK OR IN THE FIRST MONTH OF THE FINAL NINE (9) MONTHS OF HIS OR HER PROBATIONARY PERIOD AT OTHER RANKS
CLAUSES 6.6, 7.1 AND 7.2

[Date]

Dear [Member]:

In accordance with Clause [7.1 or 7.2] of the *Promotion and Continuing Appointment* Article, [insert if Clause 7.1 applies: I am initiating consideration for promotion to a probationary appointment at the Assistant Rank.] [insert if Clauses 7.2 applies I am initiating consideration for Continuing Appointment at the [Assistant/Associate/Senior] Rank,]

In order to assist us in preparing your file for the consideration of the Committee on Promotion and Continuing Appointment, the undersigned will need the following documentation from you within the next four (4) weeks:

a) an updated curriculum vitae;

b) any letters of recommendation solicited by you, which shall be sent directly to the [University Librarian/Dean];

c) a list of [number] arm's length referees, at least [number] of whom are external to the Bargaining Unit or University, which shall include a description of the qualifications of each referee, the areas of your Responsibilities on which the referee might be expected to comment, and any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of your performance; and

d) any written submissions from you relevant to the case.

In accordance with Clause 6 of the *Promotion and Continuing Appointment* Article, you shall be given advance notice of when the File will be ready for review, and you shall have at least two (2) working days to complete the review and sign the table of contents.

In the meantime, please review the *Promotion and Continuing Appointment* Article and feel free to contact the [UL/Dean's] Office if you have any questions as it relates to this process.

Should you not supply the documents listed above within the specified timeline (or without an approved extension) as required by Clause 6.3 of the *Promotion and Continuing Appointment* Article, your File (sans the missing items) will go forward for consideration by the Committee on Promotion and Continuing Appointment.

[insert if clause 7.1 applies: In accordance with Clause 4.1.1 (b) of the *Appointments* Article, if you are not successful in achieving the rank of Assistant Librarian, your employment at the University will cease at the end of your current probationary period, [date].] [insert if clause 7.2 applies: In accordance with Clause 23.5 of the *Promotion and Continuing Appointment* Article, if you are not granted Continuing Appointment, your employment at the University will cease at the end of your probationary period [date].]

Sincerely,

University Librarian/Dean

cc: Official File

SAMPLE UNIVERSITY LIBRARIAN/DEAN'S INVITATION LETTER AND REQUESTING FOR ITEMS FROM A PROBATIONARY MEMBER, AT THE ASSOCIATE OR SENIOR RANK, FOR EARLY CONTINUING APPOINTMENT CONSIDERATION
CLAUSES 7.2

[Date]

Dear [Member]:

In accordance with Clause 7.2 of the *Promotion and Continuing Appointment* Article, I would like to invite you to apply for early consideration for a Continuing Appointment. I am inviting you to apply for consideration for Continuing Appointment at the [Associate/Senior] Rank,]

In order to assist us in preparing your file for the consideration of the Committee on Promotion and Continuing Appointment, the undersigned will need the following documentation from you within the next four (4) weeks:

a) an updated curriculum vitae;

b) any letters of recommendation solicited by you, which shall be sent directly to the [University Librarian/Dean];

c) a list of [number] arm's length referees, at least [number] of whom are external to the Bargaining Unit or University, which shall include a description of the qualifications of each referee, the areas of your Responsibilities on which the referee might be expected to comment, and any previous interactions with the referee that might lead to a perception of bias in the referee's assessment of your performance; and

d) any written submissions from you relevant to the case.

In accordance with Clause 6 of the *Promotion and Continuing Appointment* Article, you shall be given advance notice of when the File will be ready for review, and you shall have at least two (2) working days to complete the review and sign the table of contents.

In the meantime, please review the *Promotion and Continuing Appointment* Article and feel free to contact the [UL/Dean's] Office if you have any questions as it relates to this process.

Should you not supply the documents listed above within the specified timeline (or without an approved extension) as required by Clause 6.3 of the *Promotion and Continuing Appointment* Article, your File (sans the missing items) will go forward for consideration by the Committee on Promotion and Continuing Appointment.

In accordance with Clause 7.3.2of the *Promotion and Continuing Appointment* Article, if you are not successful in achieving the Continuing Appointment, during this early consideration, your Promotion and Continuing Appointment File shall continue, and you can chose either to include all letters or to exclude all letters from external referees obtained in accord with Clause 5.1f of this Article and applicable to this initial consideration. The Committee's recommendation shall be placed in the File and you shall be considered again by the Committee once only, and in the final year of your Probationary Appointment.

Sincerely,

University Librarian/Dean

cc: Official File

SAMPLE LETTER TO CANDIDATE WHO HAS REQUESTED WITHDRAWAL OF P&CA FILE
CLAUSE 6.5

[Date]

Dear [Member]:

I have received your letter of [date] informing me that you are withdrawing your name from consideration for [Promotion or Continuing Appointment]. I am writing to acknowledge your request and to confirm that we are withdrawing your Promotion and Continuing Appointment File in accordance with the provisions of the Librarians and Archivists Collective Agreement, Clause 6.5. Insert for a Probationary Appointment Member being considered for a Continuing Appointment in the final nine (9) months of his or her probationary period [This means that in accordance with Clause 6.6, your employment at Western will cease at the end of your probationary period, which is [date]].

I wish you well in your future endeavours.

Sincerely,

[UL/Dean]

Cc: Immediate Supervisor
Members of Committee on Promotion and Continuing Appointment
Official File

SAMPLE LETTER FROM CANDIDATE DESIGNATING AN AGENT

If a Member who is under consideration has been called away from campus for an emergency or has become ill or is otherwise unable to review the File and sign the table of contents as required under Clauses 6 and 6.1 of the *Promotion and Continuing Appointment* Article, it is possible for the Member to designate an alternate to review the File. If this should happen, this letter may be useful.

(Date)

Dear (UL/Dean):

[State reason for inability to review Promotion and/or Continuing Appointment File and to sign the table of contents (e.g., unavoidable absence from the Country). Therefore, I designate [name] as my agent, with full authority to examine the Promotion and/or Continuing Appointment File on my behalf to determine if the Table of Contents precisely describes the contents of my Promotion and/or Continuing Appointment File and to determine if my Promotion and/or Continuing Appointment File is complete and ready for consideration by the Committee on Promotion and Continuing Appointment. I also give the above-named individual full authority to sign the Table of Contents page on my behalf.

I agree that the signature of my agent on the Table of Contents page of my Promotion and/or Continuing Appointment File shall have the same force and effect as if I had attended personally to review my Promotion and/or Continuing Appointment File.

Sincerely

[Candidate]

Cc:

Sample Curriculum Vitae
[Member]
Include address; phone, email, fax contacts, date

Education
Begin with most recent degree earned. Include degree, institution, date received
Sample:

M.L.I.S., University of Toronto, 1999
M.A., History, Trent University, 1997
Thesis title: *The Development of the National Library in Great Britain*
B.A., History, Trent University, 1995

Professional Practice Experience
Begin with current position and progress backwards. Include position title, dates, brief description of scope and responsibilities. Include co-op placements, internships or practica; supervisory experience; significant documents produced; special accomplishments; professional development activities such as attending conferences, training or courses completed
Sample:

Reference Librarian, The University of Western Ontario, 2000 - present
Design and teach Information Literacy workshops. Develop materials for course-integrated instruction in traditional and electronic formats. Responds to reference inquiries in person, via email and via "chat" based system. Attend annual professional conferences.

Project Archivist, Archives of Ontario, 1996
Processing, arrangement and description of private archival fonds. Creation of original, RAD-compliant descriptive inventory. Updating of database of archival holdings. Responding to reference requests.

Relevant Experience (if applicable)
Include experience which although not Professional Practice is nevertheless related to librarianship or archival practice
Sample

Archival Assistant, Trent University Archives, 1992 - 1994
Initial processing of acquisitions. Updating of accession records. Assisting patrons in the use of archival materials.

Teaching Assistant, Department of French, Trent University, 1996-1997
Conducting of seminars for 3rd-year courses. Grading of essays and examinations.

Academic Activity (if applicable)
Begin with most recent and progress backwards. Include publications such as books, book chapters, refereed journal articles; papers presented at conferences, invited lectures, symposia; research in progress. Indicate if journal is peer reviewed, or if paper was invited or submitted.
Sample:

Publications:
Doe, Jane, "An Empirical Analysis of the Web Catalogue," *Information Journal*, 2002 (Peer reviewed journal)

Presentations:

"Information and Literacy in the Electronic Library", Canadian Library Conference, Toronto, June, 2002 (Invited paper)

Research in Progress:

Detailed analysis of the effectiveness of current techniques used in information literacy instruction.

Service

Begin with most recent and progress backwards. Include service to Western Libraries, Faculty of X, University, Faculty Association and professional organizations. Indicate scope of committee if not evident in title (e.g., provincial, national); role; offices held and dates. Can also include book reviews, acting as moderator at a conference session or panel discussion, working on an editorial board. Note: Participation at the Unit level is included in Professional Practice and is <u>not</u> considered Service. Sample:

Member, Faculty of Arts Council, 2001 - present
Chair, Education Committee, Archives Association of Ontario, 2004 – 2005
Member, UWOFA Grievance Committee, 2002 - 2003
Chair, Historical Society, 2001 - 2002

Professional Affiliations (if applicable)

Include memberships in professional or academic associations
Sample:

Association of Canadian Archivists, 1995 - present

Awards/Honours (if applicable)

Include professional and academic awards received, e.g., fellowships, prizes. It is not necessary to include an exhaustive list; select the most substantive examples.
Sample:

Fellowship, University of Toronto, 1997 - 1999
W. Kaye Lamb Prize, Association of Canadian Archivists, 2005

SAMPLE COVER PAGE

[Member]

[Unit as defined in Collective Agreement]

[Western Libraries OR Faculty of X]

Considered for

[Promotion to [rank] and/or Continuing Appointment]

SAMPLE TRANSMITTAL LETTER

- **The purpose of this letter is to:**
  - **provide the Provost and/or designate with the Clause in the *Promotion and Continuing Appointment* Article under which the candidate is being considered. The information is required for the preparation of an annual report to Senate as stipulated in Clause 27;**
  - **summarize the level of review undertaken and the recommendations made prior to submission to the Provost;**
  - **notify the candidate and the candidate's immediate supervisor of the recommendations of the Committee and UL/Dean (Clause 20.1).**

[Date]

Dr. Janice Deakin
Provost & Vice-President (Academic)
Stevenson Hall, Suite 2107

Dear Dr. Deakin:

In accordance with the requirements of the Librarians and Archivists Collective Agreement and pursuant to Clause [pick appropriate Clause (7.1, 7.2, 7.3,8.1, 8.2 or 8.3) of the *Promotion and Continuing Appointment* Article], [Member] has been considered for **(Promotion to [Rank] and/or Continuing Appointment)**. The Committee on Promotion and Continuing Appointment (recommends/does not recommend) that [Member] be **(Promoted [to Rank] and/or granted a Continuing Appointment)**, effective [Date]. For Western Libraries, include The recommendation of the University Librarian **(concurs/does not concur)** with the Committee's decision. For non-Western Libraries, include The recommendation of the Dean of the Faculty of [Faculty name] **(concurs/does not concur)** with the recommendation of the Committee.

Sincerely

[Committee Chair]

Encl.

Cc: [Candidate]
Immediate Supervisor
Official File

SAMPLE TABLE OF CONTENTS – After Promotion and Continuing Appointment Review

This is optional. If a request for information or consultation has occurred (Clause 19), it may be wise to include a Table of Contents to show the organization of this part of the File. There is no requirement in the Collective Agreement for the candidate to review and sign-off on the File at this point in the process.

TABLE OF CONTENTS
of the Promotion and/or Continuing Appointment File of
[Member] , [Unit]

Page

1. UL/Dean's Summary Submission....
2. UL/Dean's Recommendation ….
3. Committee's Recommendation …
   a) Original Stenographic Notes (if applicable)....
4. Consultation Materials Provided by Candidate (if applicable)....
5. Request for Consultation (if required)....
6. Clarification Materials Provided by Candidate (if applicable)....
7. Committee's Request for Additional Information (if required)....
8. Promotion and/or Continuing Appointment File as signed by candidate

This form provides a summary of the candidate's employment history, the action being considered, the recommendations being made and serves as a checklist of items required.

SUMMARY SUBMISSION FORM

THE UNIVERSITY OF WESTERN ONTARIO

Unit: **Name of Candidate:**

PROMOTION AND/OR CONTINIUING APPOINTMENT RECOMMENDATION

Academic rank and status:

	Rank	**Continuing Appointment (C), Probationary (P), Term (T)**	**Date**

Proposed change (indicate as applicable):

Promotion: Yes: ___ to rank of: ___ effective date: _____

Documentation Checklist:

Recommendations (including evaluation of Professional Practice, Academic Activity and Service):	
i. University Librarian/Dean	Yes ___ No ____
ii. Committee	Yes _ _ No ____
iii. Supervisor	Yes ___ No ____
Record of Committee Meetings (if applicable)	
i. Original Notes and Transcripts	____
Confirmation re Committee membership eligibility	___
Consultation materials (if applicable)	____
Request for consultation (if applicable)	____
Clarification materials (if applicable)	____
Committee's request for information (if applicable)	____
Curriculum Vitae	
i. Curriculum Vitae from most recent Annual Report	___
ii. Updated Curriculum Vitae From Member ([date])	___
Letter of Appointment	___
Job Description	___
Annual Reviews (all years)	
i. Annual Report	___
ii. Supervisor's Response to Member's Annual Report (if applicable)	___
iii. Annual Review Report	___
Arrangements Under Collective Agreement	____
Letters of Recommendation Solicited by Member	___
Public Solicitation	
i. Notice	___
ii. Letters Received	___
External Review	
i. Potential Referees with Biographical Sketches	____
ii. Sample Letter and Guidelines Sent to Referees	____
iii. Original Letters From External Referees	____
Member's Written Submission	___

_____ _____

Committee Chair's Signature Date

SAMPLE LETTER FROM COMMITTEE REQUESTING ADDITIONAL INFORMATION (Clause 19)

- **If the P&CA Committee is considering a negative recommendation or has concerns about the candidate's record of performance, the Committee may write a letter requesting additional information from the candidate (Clause 19) prior to making its recommendation. This is strongly recommended if a negative decision is being considered, in advance of any consultation.**

- **A copy of this letter and any response from the candidate must be added to the Promotion and/or Continuing Appointment File.**

- **In order to distinguish clearly between this initial request for information, and the potential for a subsequent request for consultation, this letter must not refer to any consultation.**

[Date]

CONFIDENTIAL

Dear [Candidate]:

The Committee on Promotion and Continuing Appointment has met to consider your [Promotion and/or Continuing Appointment] File and has not yet arrived at a recommendation. The Committee has concerns about your record of performance and in accordance with the provisions of Clause 19 of the *Promotion and Continuing Appointment* Article of the Librarians and Archivists Collective Agreement, would like to request some additional information from you at this time. With respect to your record of performance in [insert as appropriate] (Professional Practice, Academic Activity and/or Service), the Committee would like [enumerate all concerns of the Committee in each area of (Professional Practice, Academic Activity and/or Service)].

We look forward to receiving this information within two (2) weeks of receipt of this request. If you are unable to meet this deadline, please let me know and the Committee will consider a reasonable extension.

Sincerely,

[Chair of Committee on Promotion and Continuing Appointment]

Cc: Members of Committee on Promotion and Continuing Appointment
Official File

SAMPLE LETTER FROM COMMITTEE REQUESTING A CONSULTATION (Clause 19)

- **If the P&CA Committee has reviewed and considered the additional information provided by the candidate or if the candidate failed to respond to the request for information or if the P&CA Committee is still considering a negative recommendation, the Committee must write a letter requesting a consultation with the candidate under Clause 19.**

- **A copy of this letter and any material submitted by the candidate at the consultation must be added to the Promotion and/or Continuing Appointment File.**

[Date]

CONFIDENTIAL

Dear [Candidate]:

Further to my letter of [date] **[elect either:** and following a review of your [insert as appropriate Promotion and/or Continuing Appointment] File and the additional material submitted by you on [date] **or** and your failure to respond to that request for further information], the Committee on Promotion and Continuing Appointment continues to have concerns regarding your performance. In accordance with the provisions of Clause 19 of the *Promotion and Continuing Appointment* Article of the Librarians and Archivists Collective Agreement, the Committee has determined that a consultation is required. The specific concerns of the Committee are [insert a statement describing all of the matters of concern as required under Clause 19.1]

My office will contact you to schedule the consultation with the Committee. At this meeting, you will be given the opportunity to make a general statement and to provide additional documentation relevant to the concerns outlined above. The Committee will then ask you questions. In accordance with Clause 19.3 you may have an Academic Colleague from your Unit or a person appointed by the Association present at this consultation and you may request time to consult with your Academic Colleague at any time during this meeting. Finally, you and/or your Academic Colleague will be allowed an opportunity to make a final statement.

If you have any questions with regard to this consultation, please contact me. Please be advised pursuant to the Librarians and Archivists Collective Agreement (*Promotion and Continuing Appointment*, Clause 19.2) that should you fail to meet with the Committee within four (4) weeks of this request for a consultation, you will have been deemed to have declined to meet with the Committee. If you are unable to meet this deadline, please contact me and the Committee will consider an extension.

Sincerely,

[Chair of Committee on Promotion and Continuing Appointment]

Cc: Members of Committee on Promotion and Continuing Appointment
Official File

SAMPLE TABLE OF CONTENTS AND SIGNATURE PAGE – Before Committee Review

- **Please ensure that the Letter of Appointment has been appropriately sanitized (e.g., personal information such as salary)**
- **Ensure that all contents placed in the File are appropriately dated.**

TABLE OF CONTENTS
of the Promotion and/or Continuing Appointment File of
[Name], [Unit], [Western Libraries or Faculty of X]

Page

1. Curriculum Vitae – Annual Report – [date]
2. Curriculum Vitae – Updated by Member – [date]
3. Letter of Appointment – [date]
4. Job Description[s]
5. Alternative Workload[s]
6. Recommendation Letter - Supervisor
7. Recommendation Letter[s] – Solicited by Member
8. Public Solicitation
    - Letters Received from Faculty
    - Letters Received from Students
    - Letters Received from Staff
    - Copy of Public Solicitation
9. Referees
    - List of Potential Referees and Biographical Sketches
    - Letter sent to Referees
    - Guidelines for Referees
    - Letters from Referees (#)
10. Annual Reports/Reviews
11. Member's Written Submission[s]

I indicate by my signature that this Table of Contents describes precisely the contents of this Promotion and/or Continuing Appointment File; that this Promotion and/or Continuing Appointment File is complete and ready [include as appropriate, subject to inclusion of the identity of referees and other contributors,] for consideration by the Committee on Promotion and Continuing Appointment.

_____ _____
Candidate's (or agent's) Signature Date

_____ _____
UL/Dean's (or designate's) Signature Date

SAMPLE NOTICE FOR POSTING OF PUBLIC SOLICITATION [Clause 5.1 e)]

PUBLIC SOLICITATION

NOTICE TO ALL FACULTY, STAFF AND STUDENTS

[Western Libraries or Faculty of X]

[Date of Posting]

Promotion and/or Continuing Appointment

The Librarians and Archivists Collective Agreement requires that in evaluating a Librarian or Archivist's performance for promotion and/or continuing appointment purposes, a public solicitation for letters must occur.

[Insert as appropriate Dr. Mr. Ms] [Name], a [librarian/archivist] in the [Unit] is being considered for [Promotion to the rank of [rank] and/or Continuing Appointment]. Anyone wishing to make a written submission can do so until the File is closed.

Unless you specifically indicate in your submission that your identity can be known to the candidate, your identity will be kept confidential from the candidate. The contents of your letter will be revealed to [Dr. Mr. Ms Name] by including in **[his)/(her]** Promotion and/or Continuing Appointment File a copy of your letter with all identification removed. If you wish your identity to remain confidential, please phrase your letter such that your identity is not revealed by content. You should be aware that your letter in its entirety will be seen by the Committee on Promotion and Continuing Appointment reviewing this case.

We appreciate your considered judgement of the candidate's qualifications.

This submission should be sent by [date] to

(UL/Dean, or designate)
[full mailing address]

SAMPLE SUMMARY OF QUALIFICATIONS OF POTENTIAL EXTERNAL REFEREES

- **The listing in the P&CA File must contain the complete listing of potential referees and, therefore, will consist of more names than those ultimately selected.**
- **All names of potential referees must have been offered by the candidate or, if added by the UL/Dean, reviewed by the candidate.**
- **If the candidate objects to any additional potential referees, the candidate can indicate reasons in the space below or provide a separate letter of explanation.**
- **No other listing of external referees should appear in the File.**
- **The Librarians and Archivists Collective Agreement does not specify the qualifications of potential referees.**
- **The number of referees listed by the Member is outlined in the *Promotion and Continuing Appointment* Article Clauses 12.1, 12.1.1 and 12.1.2, 16.1 and 17.1 .**
- **Candidate should be asked to provide more than the minimum number of referees (three times the number) required, to allow for refusals without compromising anonymity.**

Potential External Referees

Dr._____ is Associate University Librarian at the University of _____ with expertise in the area of overall library management and user-centred services. Her particular research interest is in the area of electronic collection management and delivery of digital services, and she has an extensive publications record in this area. She is a recipient of the CARL Award for Distinguished Service to Research Librarianship.

Mr. _____ is City Archivist of _____. In addition to his professional duties, where he manages an integrated corporate records management, access and privacy, and archives program, he teaches graduate courses in contemporary archival issues at the University of _____. He served as editor of *Archivaria* for 5 years and continues to sit on its editorial board. He is also a member of the Board of Directors of the Canadian Council of Archives.

Ms. _____ is a Librarian 4 at the University of _____, where she has responsibility as Nursing Liaison Librarian (Health Sciences Library)/Assistant Clinical Professor (School of Nursing). She has played a leading role at the University in the development and implementation of online, user-friendly electronic systems and resources, working with undergraduate and graduate students, faculty and clinicians in the Health Sciences to promote evidence-based practise and lifelong learning. She is recognized for her work in the area of integration of information management skills into the curriculum and has published in this area. She has served on the executive of the Canadian Health Libraries Association, including as president.

Mr. _____ is a Senior Librarian at the University of _____, where he has responsibility for collection development, faculty liaison and instruction as a member of the Research and Instructional Services Team. His specific subject areas include Anthropology, Linguistics and Cultural Studies. He is recognized for publications on the bibliometrics of cultural linguistics and anthropology, and is an invited lecturer in the graduate anthropology programs.

Mr. _____ is senior photograph archivist at the Provincial Archives of _____, where his primary focus is on acquisition, appraisal and research support. He is the author of *Picture Perfect: Appraising Photographic Archives in Context* (2006) and is recognized internationally as an expert in photographic archives. His current research interest focuses on the relationship of photographs to cultural memory.

Ms. _____ currently holds the position of Director, Knowledge Management Services, at the University of _____ and has broad experience in all facets of technical services, including serials, acquisitions and cataloguing. Her research interests include cooperative JSTOR print-sharing programs, the Open Access movement, Institutional Repositories, and next generation library catalogues.

Dr. _____ teaches in the graduate information studies program at the University of _____. He previously held the post of Associate Librarian at _____ University where he was responsible for developing innovative instructional materials and coordinating the development of integrated information literacy programs. He sits on the editorial board of the *Journal of Academic Librarianship*.

Dr. _____ teaches in the graduate archival studies program at _____ University. She previously worked for the Provincial Archives of _____ where she directed government records appraisal and disposition. She has written extensively on the challenges of appraising government records and was recently awarded the W. Kaye Lamb Prize by the Association of Canadian Archivists.

Signatures

□ I indicate by my signature below full and complete agreement with the above listing of potential referees.

OR

□ In accordance with Clause 5.1 f) (ii) of the Article *Promotion and Continuing Appointment*, I am objecting to the inclusion of [Name(s)] as potential referee(s) on the grounds that_____

_____ _____

Candidate's signature UL/Dean's signature

_____ _____

Date Date

SAMPLE LETTER TO REFEREE

- **Please choose content elections as appropriate.**
- **Referees are being asked to assess the candidate's performance in Professional Practice, Academic Activity and Service.**

[Date]

Sent via email – [address]

CONFIDENTIAL

Dear [Name]:

I am pleased that you are prepared to serve as a referee of the Professional Practice, Academic Activity and/or Service contributions of [candidate], an [Rank] in the [Unit], now being considered for ***pick as appropriate*** **(Continuing Appointment)/(Promotion to [Rank])/(Promotion to [Rank] and Continuing Appointment)**. In making your determinations, please be aware that this candidate has a balance of Responsibilities as follows: Professional Practice, Academic Activity and Service constructed according to [the Normal/an Alternative] Workload Balance of [insert workload % for PP/AA/S] respectively. For more information regarding the defined responsibilities of librarians and archivists at Western, please visit the link provided at the end of this letter. For additional insight into the rights and responsibilities of librarians and archivists, see the attached *Responsibilities of Members* article.

Insert in the Case of Promotion Only (to Associate or Senior)

A candidate may be conferred the Rank of [Associate or Senior] [Librarian/Archivist] at The University of Western Ontario and upon establishing a record of performance in each area of his /her Responsibilities that meets the criteria for Promotion to that Rank. In your evaluation of this candidate's performance, I ask that you comment explicitly on the candidate's suitability for Promotion based on the following standard: [Insert Associate or Senior standard as noted below, as appropriate]

Insert in the Case of Continuing Appointment Only (applies to current Probationary Appointments with Continuing Appointment track contracts)

Normally a candidate for Continuing Appointment at The University of Western Ontario must successfully complete his or her probationary period as a Librarian or Archivist, and meet the criteria for the Rank at which he or she will be given Continuing Appointment. In your evaluation of this candidate's performance, I ask that you comment explicitly on the candidate's suitability for Continuing Appointment based on the following standard: [insert standard for Rank at which Continuing Appointment will be given, as noted below]

Insert in the Case of Continuing Appointment and Promotion

Normally a candidate seeking Continuing Appointment at The University of Western Ontario and Promotion to the Rank of [insert Rank] must successfully complete his or her probationary period as a Librarian or Archivist and meet the criteria for the [insert rank] Rank and Promotion In your evaluation of this candidate's performance, I ask that you comment explicitly on the candidate's suitability for Promotion and Continuing Appointment based on the following standard: [Insert standard appropriate to the Rank being sought]

Insert as appropriate

A Member appointed or promoted to the Rank of [Assistant Librarian or Assistant Archivist] shall demonstrate a sustained record of achievement in Professional Practice, provide evidence of a proven ability to effectively use his or her professional education and demonstrate a capacity to develop and

extend his or her expertise in Professional Practice and Academic Activity, as appropriate to his or her Responsibilities. The Member shall also demonstrate a satisfactory record of performance in the area of Service.

A Member appointed or promoted to the Rank of [Associate Librarian or Associate Archivist] shall demonstrate a sustained record of achievement in Professional Practice which demonstrates initiative, leadership and creativity. The Member shall demonstrate ability to apply skill and critical thinking to problem-solving and shall provide evidence of continued growth in his or her expertise in Professional Practice. As appropriate to his or her Responsibilities, the Member shall provide evidence of peer reviewed results in Academic Activity. The Member shall also demonstrate a satisfactory record of performance in Service.

A Member appointed or promoted to the Rank of [Senior Librarian or Senior Archivist] shall demonstrate a sustained record of high accomplishment in the performance of Professional Practice and a record of sustained peer-reviewed results in Academic Activity recognized by peers and colleagues both within and outside of the University. The Member shall also demonstrate a satisfactory record of performance in the area of Service.

Insert for all

Referees are being asked to assess the candidate's performance in Professional Practice, Academic Activity and Service on the basis of the Referee's knowledge of the candidate's work and/or the dossier submitted to the Referee.

A copy of our guidelines for Referees indicating the specific questions which we should like you to address in your report is enclosed. I am enclosing the candidate's up-to-date curriculum vitae and other materials that the candidate has chosen as representative of **(his)/(her)** contributions. Although your assessment will cover the totality of the candidate's contributions, please pay particular attention to those contributions where you have the most in-depth knowledge of the candidate's accomplishments.

I have selected your name from a list of several nominees submitted to me by the candidate. [name] Referees' reports are provided to the Committee on Promotion and Continuing Appointment as well as to the Provost and Vice-President (Academic). The reports, without attribution, are disclosed to the candidate concerned. To protect the identity of the particular referees, all marks of identification are deleted from the referees' letters. To the extent possible, please phrase your letter such that your identity is not revealed by the content or can be easily removed. Given this degree of anonymity, I trust you will feel free to express your views on the candidate as frankly as possible.

To meet committee deadlines, I should like to receive your report by [date]. If necessary, please send your report by courier (collect to the Office of the UL/Dean) or by email (in doc, pdf or rtf format) to name at [email address]. If providing your response by fax or email, I ask that the original of your report be sent subsequently through regular mail.

I am grateful to you for undertaking this task and providing a review that accurately reflects your considered judgment of the candidate's qualifications. You may rest assured that this procedure is not simply a formality; your views and recommendations will have an important bearing upon the decision made in this matter.

Sincerely,

[UL/Dean]

Encls.
Responsibilities of Members Article

Guidelines for Referees
Member's CV
List all other documents sent to referee
(Listing)

Link to Librarians and Archivists Collective Agreement
http://www.uwo.ca/facultyrelations/pdf/collective_agreements/libs-archs.pdf

GUIDELINES FOR REFEREES

1. The University is seeking an independent, unbiased, arm's length evaluation of the candidate's performance in Professional Practice, Academic Activity and Service as it relates to his/her Responsibilities. If you are a relative, close personal friend, former graduate school teacher, thesis advisor or examiner, present or former student, present or former co-worker, co-author of the candidate, or if you feel that your personal relationship to the candidate is such as to affect your assessment, please disqualify yourself.

2. Referees are urged to be as frank and direct as possible.

3. Referees should omit their names and all other means of identification from their reports.

4. Referees should include in their reports brief comments on each of the questions listed below, but should also be free to refer to any other matters which they believe may assist the University in arriving at a decision. The candidate is being considered for pick as appropriate **(Promotion to the Rank of Associate Librarian/Archivist)/(Promotion to the Rank of Senior Librarian/Archivist)/ and/or (the granting of Continuing Appointment)**.

   a) To what extent were you aware of the candidate's contributions in each of Professional Practice, Academic Activity or Service before receiving this request to serve as a referee?

   b) On the basis of the information available to you, where would you rank the candidate's contributions and performance in his/her Professional Practice relative to others whom you know of a similar background and stage in their career?

   c) How significant is the candidate's Academic Activity (scholarly work) as a contribution to pick as appropriate **(librarianship)(archival practice)**? Please comment specifically on the quality of contributions involved.

   d) What is the impact of the candidate's service to the profession and/or to scholarly associations?

   e) On the strength of his/her contributions and performance, would you regard the candidate as a strong candidate for pick as appropriate **(Promotion to [rank])/(Promotion to [rank] and Continuing Appointment)/(Continuing Appointment)** based on the enumerated criteria?