

Article 9

THE ASSESSMENT FILE FOR NON-DECISION YEAR REVIEW, EXTENSION OF TENURE-TRACK APPOINTMENT, TENURE AND PROMOTION FOR FACULTY MEMBERS

- 9.01 Candidates for extension of a tenure-track appointment, promotion or tenure, and those being reviewed in non-decision year reviews, shall create an assessment file, in consultation with the Administrative Head, which shall be considered by the Promotion and Tenure Committee. This file, as completed in accordance with this Article, shall contain all the documentation relevant to the evaluation process including samples of the candidate's work. Candidates may include a statement referring to their fulfilment of the relevant criteria in the areas of assessment as stated in Articles 11 and 12. When a candidate wishes student course evaluation instruments to be considered, all such results received during the preceding three (3) year period shall be included.
- 9.02 Candidates shall submit materials for their file in an electronic format, if appropriate, to the Administrative Head by September 15 in the case of consideration for non-decision year reviews, extension of tenure-track appointments, tenure or promotion. When acknowledging receipt of the file, the Administrative Head shall notify the Faculty Member in writing that the Faculty Member has the right to include in the assessment file rebuttal or written comments on the accuracy or meaning of any documents inserted into their assessment file.
- 9.03 Before making the file available to the Promotion and Tenure Committee, the Administrative Head shall insert copies of any relevant documents previously placed in the official personal file of the candidate, including non-decision year reviews and recommendations formulated during previous promotion and tenure assessments. Such documents shall be clearly marked as having been inserted by the Administrative Head. Before making the file available to external referees, the Administrative Head shall remove documents pertaining to non-decision year reviews and recommendations formulated during previous promotion and tenure assessments.
- 9.04 The Promotion and Tenure Committee or the Administrative Head may request additional information or material from the candidate or elsewhere in the University. Such requests shall be made in writing and shall form part of the file. Samples of the candidate's work shall be placed in the file by the Administrative Head when requested by the Promotion and Tenure Committee or the Administrative Head.
- 9.05 The assessment file shall be deemed to be an annex to the official personal file. As new documents are created or obtained in the assessment process, they shall be added to the assessment file by the Administrative Head. In addition, the Administrative Head shall ensure that any such documents not previously copied to the candidate shall be copied to them. The candidate has the right to insert a response but shall not insert any new, substantive material in the assessment file after the Committee has submitted its Report. No material shall be included in the file which does not meet the requirements governing inclusion of material in the official personal file as specified in Clauses 1.45 to 1.68, except that the candidate may submit copies of books, articles or other similar materials for assessment purposes. The material in this file shall be governed by the provisions of Clause 3.05.
- 9.06 The assessment file shall be maintained by the academic administrator currently responsible for formulating a recommendation and shall be located in their office, except when signed out by a member of the Committee. If working copies are made for Committee members, the Chairperson of the Committee shall ensure their destruction at the conclusion of the assessment process.
- 9.07 The candidate shall have access to the file at any time upon request. However, confidential letters of assessment shall be viewed only in accordance with Clause 1.63.
- 9.08 The Chairperson of the Committee shall inform the candidate in writing of the final content of the file considered by the Committee before the Committee begins its review of the file.
- 9.09 In the case of tenure and promotion the file shall contain letters from external referees. These letters shall be solicited in accordance with Clauses 11.10 - 11.16 and 12.11 - 12.12.
- 9.10 After the Committee has submitted its Report, no new material shall be added to the file except assessments and recommendations by academic administrators, as specified in this Collective Agreement, and correspondence related to the evaluation process, or a reply to a negative assessment or recommendation. Such

a reply shall only be considered if a final decision has not been made by the President regarding the assessment file in question. Neither the correspondence nor a reply shall include any new, substantive material.

- 9.11 In the case of extension of a tenure-track appointment, tenure or promotion, the President shall inform the candidate of their recommendation and shall be responsible for transmitting the file to the Director of Human Resources for inclusion in the official personal file.
- 9.12 In the case of a non-decision year review the relevant academic administrator shall be responsible for transmitting the file to the Director of Human Resources for inclusion in the official personal file and shall return to the candidate all copies of books, articles or other similar materials in accordance with Clause 1.53.
- 9.13 When the Director of Human Resources receives an assessment file for inclusion in the official personal file, they shall return to the candidate all copies of books, articles or other similar materials in accordance with Clause 1.53 as well as any voluminous teaching dossier material.