



# **University of King's College**

## **Regulations Governing Faculty – Administrative Relationships**

### **Regulations Concerning Appointments, Promotion and Tenure**

As Approved by Faculty  
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As Approved by the Board of Governors  
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## **REGULATIONS GOVERNING FACULTY - ADMINISTRATION RELATIONSHIPS**

### **(I) General: Principles of Faculty-Administration Relationships**

- 1) In areas of its concern (i.e., in all things relating to the academic affairs of the College), the President will seek out and act on the recommendation of the Faculty. When the President is unable to act in this manner, they shall explain to the Faculty the reasons.

### **(II) Faculty and its Officers and Committees Elected to Represent Faculty to the Administration**

- 1) Voting members of Faculty include the President (*ex officio*), Vice-President, and those appointed to teach as full-time Faculty and/or special appointments in the College (Professors, Associate Professors, Assistant Professors, Lecturers, Senior Fellows and Faculty Fellows in the Humanities, Professors cross-appointed from Dalhousie to teach in the King's Programs, and the Librarian(s)).  
Non-voting members include the Bursar, the Registrar, the Dean of Residence, Director of Advancement, Director of Athletics, the Chaplain and such other officers as the Faculty may from time to time determine.
- 2) Faculty shall elect a Chair of Faculty annually (who may not be the President or Vice- President).
- 3) The Faculty will normally be convened by the Chair. The Chair must call at least four meetings of Faculty per year (two each term). Special meetings may be called at any time on the written request of three members, addressed to the Chair.
- 4) The Faculty shall annually elect a Committee and name a Chair on the Appointments, Promotion, and Tenure Committee (APT), consisting of four persons for staggered three-year terms, chosen from the tenured members of Faculty whose appointments will not be open for discussion in those years. Its membership should not include the President or Vice-President. The committee will regularly consult with the Vice-President on all matters of substance and policy concerning appointments, promotion, and tenure. The committee deliberates on matters according to its Terms of Reference.

## **REGULATIONS CONCERNING APPOINTMENT, PROMOTION AND TENURE**

### **1. APPOINTMENTS MADE BY THE BOARD**

#### **1.1.1. Authorization of Appointments by the Board of Governors**

The Board of Governors authorizes appointments and determines the duties, salaries and conditions of appointment of the President, academic members, Associate Fellows, Librarians, and Administrative Officers of the University.

#### **1.2.1. Recommendations for Appointments, made by the President**

The Board of Governors acts on recommendation for appointments made by the President, except in the case of the appointment of the President.

- 1.2.2. As chief executive officer of the University, the President has the exclusive responsibility to make all recommendations relating to appointments for

consideration by the Board of Governors. In the exercise of this responsibility, the President will consider the advice of relevant advisory committees and of the officers of the University, but in the interest of the University, the President has discretion to recommend or not to recommend a particular appointment, or to recommend special terms and conditions of any appointment.

#### **1.3.1. No Offer of Appointment Without Board Approval**

Until the Board of Governors approves a recommendation concerning an appointment, no offer of any appointment is made, and any prior proposal by an officer of the University about an appointment or its conditions is made without authority and does not bind the University.

#### **1.4.1. Appointment Concluded by Contracts**

Each appointment when approved by the Board is made by contract between the University and the appointee, normally by a letter from the President offering an appointment set out in a standard form contract, which for acceptance requires receipt by the President's Office of a letter from the appointee, indicating agreement to serve on the terms offered.

#### **1.5.1. The Academic Year**

The Academic Year at King's begins on July 1 and ends on the following June 30 and appointments subject to termination in any year terminate on June 30, unless otherwise agreed. The power to recommend appointments of any duration remains with the President, subject to approval by the Board of Governors.

## **2. NON-ACADEMIC ADMINISTRATIVE APPOINTMENTS**

### **2.1.1. Appointment of Academic Administrative Officers**

Academic administrative officer appointments, such as the Director of a Program or School, are distinct from academic appointments and are governed by the following terms:

- i) They need not be made on the basis of seniority or status within the University.
- ii) They will be made after consultation with special advisory committees.
- iii) They will be made for a specified term. The term for such appointments is set out in the regulations of the Program or School (the *Green Book*) or as otherwise agreed by the Program or School. In either case, the Board of Governors may review and/or terminate an appointment for cause as set out in Section 9 of these regulations.

### **2.1.2. Appointment of President, Vice President(s) and Directors of Program(s) or School(s)**

Notwithstanding section 2.1.1, the Board of Governors has approved specific procedures for the appointment of President, Vice-President(s), and Director(s) of Program(s) or School(s). Similar practices may be followed for other administrative appointments of similar standing.

### **2.1.3. Termination of Appointment**

The appointment of an academic administrative officer may be terminated by the Board before expiry of the term originally agreed upon, when cause is shown according to the procedures established in Section 9 of these regulations.

#### **2.1.4. Non-Academic Administrative Officers**

Non-Academic Administrative Officers are appointed by the Board on the recommendation of the President. The administrative appointment may be for a fixed term or for an indefinite term, and in either case is subject to review and may be terminated by the Board of Governors when cause is shown according to the procedures established in Section 9 of these regulations.

The Administrative officers participate in pension, insurance and other benefit programs, but the other conditions generally applicable to Academic Appointments (Section 4) do not apply to them as administrative officers, except as expressly provided in these regulations.

#### **2.2.1. Librarians**

The appointment of University Librarian or other qualified librarian is normally for a three-year period and is terminable with due notice at the pleasure of the Board of Governors. At the conclusion of the term, another appointment may be made for a further term, normally not exceeding three years, or an appointment may be made without term. After six years of service, re-appointment, when it occurs, may be made without term and is terminable only by resignation (Section 10), retirement, or dismissal for cause (Section 9).

#### **2.2.2. Librarians: Terms of Appointment**

Librarians participate in pension, insurance, and other benefit programs. Annual vacations of one month are scheduled to ensure service by the library on a year-round basis. The University establishes minimum salaries for each classification of library personnel. Other conditions of academic appointments do not apply to librarians, except as expressly provided in these regulations.

#### **2.3.1. Associate Fellows**

The appointment of an Associate Fellow of the University is for a one-year period, renewable annually at the pleasure of the Board of Governors on the recommendation of the President from the Faculty, and the Director of the appropriate Program, School, or Institute. Associate Fellows are unpaid by the University and do not participate in pension, insurance and other benefit programs of the University. Other conditions of academic appointments do not apply to Associate Fellows unless the contract of appointment specifically includes them. Their position is governed by the rules of the appropriate unit.

#### **2.4.1. Establishment of New Academic Administrative Posts**

In the creation of any new academic administrative post, there shall be consultation with and approval by Faculty.

### **3. ACADEMIC APPOINTMENTS**

#### **3.1.1. Types of Academic Appointments**

Academic appointments include Instructors, Lecturers, Assistant Professors, Associate Professors, and Professors. Appointments may be made on a full-time or part-time basis.



### **3.1.2. Faculty Fellows and Senior Fellows in the Humanities**

The terms and conditions of employment for Faculty Fellows in the Humanities and Senior Fellows in the Humanities are governed by the collective agreement between the University of King's College Teachers' Association and the University of King's College.

## **3.2. Full-time Tenure-Track Academic Appointments**

### **3.2.1. Location of Appointments**

Appointments are made to the Programs and Schools of the University of King's College and/or to the joint faculty of King's/Dalhousie in the College of Arts and Science. Joint faculty appointments (including Combined Honours Program appointments, which are subject to approval by the Dalhousie Board of Governors) are made in accordance with the Articles of Association (1923, amended 1954 and 1959), and are subject to the terms of that agreement. In all matters that are not governed by that agreement, King's academic appointments shall be governed by the following rules and regulations. Although Combined Honours Program appointments are made jointly by Dalhousie and King's, as noted in both the Articles of Association and the *Green Book*, subsequent references to 'Joint Faculty' in this document will mean King's academic members who are appointed to Dalhousie departments, programs, and schools (as in *Appendix 1*).

### **3.2.2. Duration of Appointments**

The appointment of a full-time tenure-track member continues for a term limited by the contract agreed upon by the University and the appointee, normally for three academic years (subject to re-appointment: see 3.2.7.), or without term when tenure is approved and agreed upon by contract between the University and the appointee.

### **3.2.3. Academic Joint Appointment from Institutions Other than Dalhousie**

When an academic member holds a joint appointment in the University and in another institution, continuation of the University appointment is normally conditional upon continuation of the appointment in the other institution.

### **3.2.4. Initial Appointment**

Normally every first appointment as a full-time tenure-track academic member is made for a term of three years. In exceptional cases, the Board of Governors, in accordance with regulations for considering tenure, may make a first appointment with tenure at its commencement. Non-tenure track appointments for a fixed term involve no undertaking by the University to make a further or subsequent appointment, or to continue the position. Non-tenure track appointments cannot be converted to tenure-track positions through sole candidate searches or other means, with the exception of the sole candidate searches authorized by the Board previous to approval of this policy.

- 3.2.5.** When an initial appointment is to be made, the Program or School conducts a process as outlined by its Academic Regulations, involving an open national or international candidate search. The Director shall then communicate a recommendation noting any dissension to the Committee on Appointments, Promotion, and Tenure, which will make a recommendation to the President.

**3.2.6.** In the case of an initial or new appointment to the University, the President shall seek the advice and recommendation of the Appointments, Promotion, and Tenure Committee.

**3.2.7. Consideration of Re-Appointment**

Tenure-track academic members will be considered for reappointment for a further three-year term at the beginning of the third year of their initial appointment. Re-appointment of tenure-track candidates is made when the assessment that led to the initial appointment is considered confirmed by satisfactory performance. This will include completion of appropriate degree or credential; evidence of teaching effectiveness; contributions to an academic or professional discipline; administration and service; collegiality; and personal integrity.

The Director of the Program or School shall meet with the candidate at the end of the first two years of their initial appointment to discuss their performance in these areas. In June of the second academic year, the Vice-President will remind the candidate of the steps that must be followed for reappointment. The case of Joint Faculty is described below at 3.2.8. Other faculty shall make a written application to the Chair of the Appointments, Promotion, and Tenure Committee in care of the President's office, copying the Director(s) of the Program(s) or School and Vice-President by September 15.

The Director(s) shall, after consulting with the teaching staff of the Program or School, make a recommendation to the Appointments, Promotion, and Tenure Committee by October 15, copied to the President. The letter from Appointments, Promotion, and Tenure with a recommendation setting out both positive and negative aspects of the applicant's performance and giving clear guidance as to their standing in relation to a future tenure decision will be sent to the President by November 15, who in the case of Combined Honours Faculty shall consult the Dean of the Faculty of Arts and Social Sciences at Dalhousie. The Dean shall communicate a decision to the President by December 1. The President will communicate a decision to the academic member no later than December 15.

Candidates will be provided with copies of letters from the Program and School and Appointments, Promotion, and Tenure. Where the decision is not to reappoint, candidates will be given written reasons for the decision. Any division in judgment, should there be any, will be described. A recommendation or decision by the committee, the Director, or higher administrative officer (e.g. President or Dean), even if contrary to another recommendation or decision, shall not by itself constitute evidence of unfair treatment under Section 7 of these regulations for a submission to a hearing by a University Hearing Committee concerned with the redress of grievances. See *Appendix 7: Timeline for Appointment, Promotion, and Tenure*.

**3.2.8. Consideration of Re-Appointment of Joint Faculty of King's/Dalhousie**

The process for the reappointment of Joint Faculty will proceed according to the standard practice and timetables of Dalhousie University Faculty of Arts and Social Sciences (FASS). After the case reaches the Dean of FASS, they will refer the file and any recommendations to the Appointments, Promotion, and Tenure

Committee of King's in care of the President's Office. APT will make a recommendation to the President by November 15. The president shall consult with the Dean and shall communicate the decision by December 1.

### **3.3. Full and Part-Time Special Contract and Limited Term Appointments**

#### **3.3.1. Notice to Those Serving for a Limited Term**

Those serving on a contract for a limited term will be given notice before expiration of the term whether they will be offered a further appointment. The President (or delegate) shall give notice as early as possible, and will endeavour to give at least tentative notice by January 15 of the last year of the term provided in the contract.

#### **3.3.2. Automatic Termination of Limited Term Appointments**

When an appointment is neither renewed with a further term appointment nor renewed with tenure, the appointment automatically expires at the end of the term.

#### **3.3.3. Maximum Time to Full-time Limited Term Appointments**

Full-time Limited Term Appointments shall be limited to a cumulative maximum of six years of service (where 8- to 11-month contracts are understood to equal a full year of service, but not including years when parental leave (see *Red Book*) has been taken) in King's Combined Honours Programs and the School of Journalism (see 5.5.7.).

#### **3.4.1. Special Contracts**

Special contracts may be made between an academic member, either full-time or part-time, and the University; but every special contract shall set out in writing the terms for the appointment, and so far as is consistent with those terms these regulations concerning academic appointments shall apply. The Faculty Committee on Appointments, Promotion, and Tenure shall be advised of all special contracts.

#### **3.5.1. Part-Time Academic Members**

Part-time appointments at King's include, but may not be limited to, the following: those teaching in the School of Journalism appointed on a per course basis to support the curriculum and provide current professional expertise, and those appointed in the Humanities on a per course basis to support the curriculum in the short term.

**3.5.2.** Part-time Academic Members teaching in the Humanities are appointed by the Board on the recommendation of the President. Per course appointments are made at the appropriate academic rank and are normally remunerated according to current scales for part-time and overload teaching. Unless the contract of appointment otherwise provides, none of the other regulations on appointment and conditions of appointment apply in the case of part-time members, except the regulation for redress of grievances (Section 7), which shall apply to all claims of unfair treatment except those concerned solely with recommendations or decisions not to renew a part-time appointment.

- 3.5.3.** Part-time academic members in the School of Journalism are appointed by the School Director. They are normally remunerated according to current scales for part-time and overload teaching. Unless the contract of appointment otherwise provides, none of the other regulations on appointment and conditions of appointment apply in the case of part-time academic members, except the regulation for redress of grievances (Section 7), which shall apply to all claims of unfair treatment except those concerned solely with recommendations or decisions not to renew a part-time appointment.

#### **4. GENERAL CONDITIONS OF ACADEMIC APPOINTMENTS**

##### **What is Fair?**

Natural justice in an academic context is held to mean the creation of conditions that will lead to fair procedures, such as: the right to receive reasonable notice; the right to see or hear all evidence in one's case; the right to answer negative evidence; the unacceptability of anonymous evidence; the right to hear detailed reasons for decisions; the right to a fair tribunal; the right for the assistance of a peer.<sup>1</sup>

King's presents special concerns in relation to conflict of interest. Because members assume overlapping duties in different Programs and at different administrative levels, members may be involved in such processes at two different stages (though not as decision makers: see 5.6.4). Where that is the case, evaluators (see 5.6.4) must be guided by the principle that their involvement should not disadvantage the candidate.

##### **4.1.1. Confidentiality Respecting Appointment, Promotion, and Tenure**

The University aims to protect the confidentiality of appointment, promotion, and tenure files and will, as a matter of policy, invoke the exemption (Section 19C) of the Freedom of Information and Protection of Privacy Act of the Province of Nova Scotia (1999, c. 11) to maintain the confidentiality of files as allowable under the Act. Confidentiality is limited where disclosure is required by

- a) Procedure required to assess appointment, tenure and/or promotion; or
- b) Law; or
- c) The need, in the University's opinion, to ensure health and safety.

Academic members will have access, upon notice, to appointment, promotion, and tenure files in their own case, except that personal identifiers will be removed from letters of assessment. Names of external examiners may be kept confidential. Should the candidate wish to view those comments, they may do so.

Files as submitted by the candidates are kept intact by the President's Office for 18 months, at which time they are returned to the candidate.

##### **4.2.1. Salary**

By the terms of the Articles of Association with Dalhousie University (1954, #16) "The same scale of salaries as from time to time prevails in Dalhousie University shall be adopted by King's for all appointees on the Foundation of King's in Arts and Science."

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<sup>1</sup> This definition is indebted to the Canadian Association of University Teachers, CAUT "What is Fair?" 3.1.

This is interpreted to mean that the salaries of Arts and Sciences appointments (and, *mutatis mutandis*, appointments in Journalism and other academic Programs undertaken by the University) shall at least equal the published salary minima and maxima of a similar appointment at Dalhousie as set out in the current collective agreement of the day between the Board of Governors of Dalhousie College and the Dalhousie Faculty Association. The “Y” value of each new appointment shall be arrived at in accordance with the principles outlined in the collective agreement at Dalhousie but set by the agreement of the appointee, the APT committee of King’s, and the President of King’s (or their delegate).

The same minima apply to all other full and part-time academic appointments made by the University. (See *Appendix 3: New Members of the King’s Faculty and “Y”*).

It is also understood as an implication of the above article (1954, #16) that the University intends to offer all its academic staff the same range of benefits and conditions of service (viz. in matters of early retirement, partial early retirement, reduced workload arrangements, pension benefits, and termination arrangements) as available to those in comparable positions at Dalhousie, provided that the cost of these benefits is compatible with the sound financial condition of the University.

#### **4.3.1. Service or Employment Outside the University of King’s College**

The University recognizes the value of academic members engaging in outside employment, or community service that enhances their professional, scholarly, and scientific competence. Full-time academic members may engage in activities of these sorts in so far as they prove compatible with their university responsibilities and with the general educational goals of the University. Everyone engaged in these activities shall discuss them from time to time with the Director of the unit or the Vice-President as may be appropriate.

#### **4.4.1. Pension Plan, Insurance, and Benefits**

Academic members participate in the Nova Scotia Public Service Superannuation Plan. They also participate in the University’s insurance and other benefit programs in accordance with the terms set out in the University’s *Red Book*.

**4.4.2.** Significant modifications of these and other provisions for benefits will be reviewed by the Salary and Benefits Committee and discussed with the Faculty and others before adoption by the University.

#### **4.5.1. Vacation**

Every full-time academic member is entitled to a reasonable vacation annually. Normal annual vacation is one month and, while a faculty member may be away for a longer period, it is expected in any case that much or most of total recess time will be devoted to scholarly activities.

#### **4.6.1. Sabbatical Leave**

The Board of Governors grants sabbatical leave in expectation of benefit to the University from future teaching and research as a result of the faculty member’s

intellectual renewal. It also grants sabbatical in the expectation of benefit to the academic and/or professional discipline and in recognition of benefit during past teaching and research. In order to ensure that this expectation has a reasonable likelihood of being met, and to maintain University Programs, an application leave for sabbatical is subject to approval by the Board of Governors on the recommendation of the President.

#### **4.6.2. Sabbatical Initial Leave - Eligibility and Duration**

Tenured and tenure-track academic members may be granted sabbatical leave for study and research after six years of service. The period of leave is generally for one academic year at eighty-five percent of salary. In some cases, after three years of service, tenured and tenure-track members may be granted a half-year's sabbatical in the ensuing academic year, from July to December or January to June, at eighty-five percent of salary. Satisfactory arrangements must be made and approved within the Department, Program, and/or School concerned.

#### **4.6.3. Sabbatical Deferral**

If an academic member applies for sabbatical leave and the conditions of clauses 4.6.1 and 4.6.2 are met, but it is in the interests of the University or Program that leave be postponed, the member who agrees to postpone sabbatical leave upon request by the Director or Vice-President shall receive additional salary support of 2.5 percent per month for each 6-month period of postponement to a maximum of two years, provided, however, that the total salary support resulting from this provision does not exceed 100% of the academic member's regular salary, and shall be entitled to have the period of service required before any subsequent leave reduced to the extent the prior leave is postponed. Subsequent sabbaticals will not be delayed by the period of the deferral.

#### **4.6.4. Sabbatical Eligibility - Subsequent Leaves**

A second or subsequent sabbatical leave may be granted to a member who has served for a period of years equivalent to that required for an initial sabbatical leave, beginning from the end of the academic year in which a preceding sabbatical leave was taken. In assessing an application for a subsequent sabbatical leave, consideration will be given to the teaching, academic, professional and scholarly work, and administrative duties of the academic member during and since previous leave(s).

#### **4.6.5. Sabbatical Application**

The application for sabbatical leave shall include an outline of the research or professional program to be followed during leave, along with expected scholarly and/or professional outcomes. Joint Faculty apply through their Dalhousie Department to the Dean of FASS who forwards a recommendation to the President of King's for Board approval. King's faculty apply to the President through the Director of their Program or School, to whom they inform of their intention of submitting an application by September 15 of the academic year preceding that year for which leave is begin sought. The application must be submitted no later than October 15. The President shall make a recommendation to the Board of Governors. (See *Appendix 9: Sabbatical Leave Checklist*.)

#### **4.6.6. Sabbatical Report**

A member returning from sabbatical leave must submit a report through the department Chair or Director of the unit to the President within a month after the sabbatical leave has ended regarding the program of academic, professional, and scholarly work pursued. The member is encouraged to present the intellectual fruits from this period to the appropriate audience(s).

#### **4.6.7. Sabbatical Benefits**

During sabbatical leave, a member continues participation in the Nova Scotia Public Service Superannuation Plan, benefit plans with the University, and to pay the regular contributions at the usual rates.

#### **4.6.8. Sabbatical External Financing**

The University encourages members to seek support from sources outside the University to help cover expenses and loss of income associated with the leave. The form, nature, and amount of external support are expected to be compatible with the purposes of sabbatical leave.

#### **4.6.9. Supplementary Leave Benefits**

A professor on sabbatical stipend may also claim a supplementary leave benefit; this will be between twenty-five percent and thirty-three percent of the amount of salary forfeited by the sabbatical leave, and at a percentage not normally more than what is offered by Dalhousie. The claim must request and justify a dollar value e.g., \$1,800, on the appropriate form: King's will not normally grant more than the Dalhousie average. This claim is to be sent to the Chair of the Research and Travel Funds Committee which shall not unreasonably deny applications. King's assumes that the essential academic judgement of the project(s) has been made by the Director of the academic unit. Tax will not normally have been paid on this amount, (i.e., the supplementary leave benefit).

#### **4.7.1. Leave of Absence**

Application for leave of absence without pay may be made to the President for approval by the Board of Governors. Leaves are normally for no longer than two academic years. When granted, it shall not ordinarily be treated as though it were sabbatical leave and it shall not normally count as time gained in eligibility for sabbatical leave or for consideration of tenure. Persons on leave of absence will normally be responsible for paying their regular contributions to the pension plan and other benefits.

#### **4.7.2. Unplanned Leave of Absence from University**

Where an academic member anticipates an absence from academic duties beyond that which can be reasonably accommodated within their Program or School, that member shall notify the appropriate Director beforehand. The academic member shall make arrangements to ensure that the work of the University is effectively carried on.

### **5. ACADEMIC FREEDOM AND TENURE**

- 5.1.1.** Insofar as any member of the Faculty does not fall under the terms and conditions of the Consolidated Agreement of Association with Dalhousie University (1959) (see 3.2.1), the following regulations shall apply.

### **5.2.1. Academic Freedom**

The University recognizes academic freedom as indispensable to its purposes. Freedom of an academic member to study, to teach, and to pursue knowledge and/or professional practice according to their judgment is a prerequisite for the university to fulfill its role in society. Accordingly, academic freedom is the right of every academic member from the time of first appointment. The right to academic freedom carries with it the duty to use that freedom in a responsible way, with due regard to the rights of others and due concern for the duties appropriate to the appointment. The right to academic freedom also presupposes that an academic member will strive to preserve intellectual vitality, to play an effective part in the work of the department and faculty, and to ensure that students have reasonable access to their attention. Librarians have similar rights and duties.

### **5.3.1. Appointment, Promotion & Tenure**

Faculty appointed to King's Programs and Schools will be supplied with a copy of the *Pink Book*. In decisions of reappointment, tenure, and promotion, King's aims to maintain standards of collegiality and transparency. Decision makers at King's agree to act fairly and in good faith, and in accord with the rules of natural justice. Academic decisions should be made on solely academic grounds. The principle which should guide applicants is that of presenting themselves fully in the best light possible. Decision to grant tenure and/or promotion is based solely on judgments about the file presented.

King's academic members are appointed to the joint King's-Dalhousie College of Arts and Science and/or to King's Programs as appointments in Humanities and/or to Journalism. Members of the Joint Faculty (see 3.2.1) are governed by the regulations of Dalhousie faculty and related to King's in the way outlined in the 1991 "Regulations Concerning Tenure, Promotion and Reappointment" found in *Appendix 1*. Such faculty should be supplied with current copies of the Dalhousie Faculty Association Collective Agreement as well as DFA supporting documents such as "Under the Microscope" (2015). Normally, Joint Faculty follow the Dalhousie process and are assessed according to Dalhousie standards. The following provisions are therefore not primarily addressed to Joint Faculty except insofar as King's joins in Dalhousie's process.

The Vice-President advises faculty and provides guidance in relation to tenure and promotion. The faculty-level decision making bodies are the Program or School and the Committee on Appointments, Promotion, and Tenure. While the Vice-President is not a member of Appointments, Promotion, and Tenure, it will normally be the practice that the Vice-President is consulted on matters of information, precedent, and procedure, and will in any case be consulted before APT makes its final recommendation to the President to ensure due process. Faculty members who serve as decision makers (see 5.6.4.) at an earlier stage in a case shall recuse themselves from voting on that case at Appointments, Promotion, and Tenure.

The President shall consult the Planning and Priorities Committee for its advice and recommendation whenever the University proposes to create any new faculty position in its own Programs or in the Faculty of Arts and Social Science.



### **5.3.2. Appointment**

The process of appointment is set out in *Pink Book* 3.2.4.

### **5.3.3. Re-appointment**

The process of re-appointment is set out in *Pink Book* 3.2.7 and 3.2.8.

### **5.3.4. Tenure and Promotion in Relation to the Faculty of Arts and Social Sciences**

The regulations of King's Combined Honours Programs offered through the Faculty of Arts and Social Science at Dalhousie state that Dalhousie will judge on matters relevant to them for the tenure and promotion of King's faculty. This provision does not suggest a parallel process at the two institutions. Rather, it asks the Dean of FASS to consider King's judgement that a given appointment should be granted or refused tenure and/or promotion to teach in a Program belonging to the offerings of King's and the Faculty of Arts and Social Science. To this end, tenure and promotion files are forwarded from the Appointments, Promotion, and Tenure Committee through the President to the Dean (as set out in the *Appendix 7*) for consideration before being sent on to the President for final consideration. The agreement of the Dean and the President is found in *Appendix 2*.

### **5.4.1. Tenure**

An appointment with tenure is considered the ultimate safeguard of academic freedom. It constitutes an undertaking on the part of the academic member that they will continue to perform conscientiously the functions of a teacher, a scholar, a professional practitioner, and/or an artist. The University undertakes that a full-time academic member may continue to enjoy academic freedom with an appointment that shall be terminated only in accordance with regulations relating to resignation (Section 10), to retirement, or to dismissal for cause (Section 9).

**5.4.2.** While matters concerning tenure are administered through a School or Program, tenure is held in the University as a whole. The University endeavours to maintain and improve its standard of academic performance year by year, and to maintain sufficient flexibility in academic staffing to meet the needs for change in Programs. This means that merely spending a number of years as an academic member of the University will not establish a right to tenure. The Board of Governors will make an appointment with tenure only when the nature of the last term-appointment of the academic member recommended was consistent with the expectation that they would serve a continuing Program of the University for the reasonably foreseeable future, and only when it can be firmly predicted that the person recommended will attain and maintain a high degree of academic and/or professional and/or artistic proficiency.

**5.4.3.** If a tenure track appointment includes responsibilities that do not relate to the criteria for tenure as set out in 5.5.1, tenure shall be considered additionally in relation to those responsibilities specified in the letter of appointment.

**5.4.4.** An appointment with tenure is granted only to those holding academic rank and in a tenure-track position (Lecturer, Assistant Professor, Associate Professor, Professor).

**5.4.5.** It is often the case at King's that candidates will have taught and/or have held formal appointments in more than one unit: see *Appendix 5: Home Programs and Cross-Appointments*. Candidates should confirm their home status with one Director first; then the Director will discuss this with other Directors and the VP for confirmation. Based on their home status, candidates should determine through which unit they will apply as their primary sphere of responsibility. Such primary responsibility may change during a career and in relation to growth and change in Programs, but at the same time of application for tenure, one unit must be designated as the one through which application is being made. The Directors should discuss the recommendation. If there has been a formal appointment in any unit, a formal and independent response from each unit relevant to the candidate is warranted. Such independent recommendations will be made to the primary unit.

**5.5.1. Consideration for Tenure: Eligibility**

While academic members may, in exceptional circumstances, be given tenure on their appointment, or be given early consideration for tenure, normally tenure is considered at the following times:

**5.5.2.** Normally academic members shall be considered for tenure after four years of service, i.e., in the fall term of the fifth year.

**5.5.3.** Members initially appointed as Associate Professors and Professors shall be considered for tenure after two years of service, i.e., in the fall term of the third year.

**5.5.4.** The Vice-President will inform academic members of their eligibility for tenure in their fourth (5.5.2) or second (5.5.3) year following their appointment to a tenure-track position.

**5.5.5.** Faculty members may request deferral of the consideration for tenure, normally for up to two years, on whatever grounds they judge appropriate, by providing a letter to the Chair of APT copied to the President setting out their case. APT will judge the merits of the case and provide a recommendation to the President. While requests for deferral may be made at any time, members are well advised to request deferral before the deadline for the submission of their completed tenure application. Requests for deferral should make as strong and evident a case as possible. If the request for deferral is refused, the candidate must follow the usual schedule. In addition, where exceptional circumstances or major changes in curriculum or administration result in the faculty member being asked to take up a significantly greater workload than usual, with the result that their ability to meet the criteria for tenure is impaired, that member may request a deferral of tenure consideration for up to two years. Members in this category shall receive institutional supports to give them the opportunity to meet the criteria. In addition, decision makers along the process may decide to recommend deferral, whether the candidate has requested it or not.

**5.5.6.** By written notice to the Chair or Director of their academic unit, a member on parental leave may elect to defer for one-year consideration of decisions relating to their application for tenure. The academic member shall inform the Chair or Director of their academic unit, and the Vice-President, of this decision.

**5.5.7.** Otherwise a faculty member shall be recommended for a term appointment to carry beyond the sixth year of service (see 3.3.3.) only on exceptional grounds satisfactory to Director of their academic unit, the King's Faculty Committee on Appointments, Promotion, and Tenure, and the President. Once given such an appointment, the academic member shall be considered as all other Limited Term Appointments in accordance with 3.3 before expiry of the term.

**5.6.1 Application for Tenure: Deadlines & Procedure**

Candidates applying jointly for tenure and promotion should follow the criteria and procedure for promotion as found in Section 6.

The University takes seriously the importance of a timely decision regarding tenure. In the year an individual becomes eligible for tenure, the Vice-President will inform the faculty member by May 1. The faculty member will apply to the Chair of the Committee on Appointments, Promotion, and Tenure in care of the President's Office no later than September 15 and will copy their letter of application to the Vice-President and their Director(s). At the same time, the member will submit the supporting file with the nominations of external referees to the director involved. This will usually be the director of the main Home Program. Normally this is considered the complete application. In exceptional circumstances, important material may be added after consultation with the Vice-President.

The Director will shepherd the file through the process. The Program Director will submit a completed file with supporting letters and recommendations to the Chair of Appointments, Promotion, and Tenure no later than January 15. APT will make a recommendation to the President no later than February 28. In the case of Faculty members in the Combined Honours Programs, the President will forward the file to the Dean of the Faculty of Arts and Social Science, who will respond by March 31. The President will then inform the candidate of the recommendation to the Board of Governors by May 30. Other than the May 30 deadline, failure on the part of committees, Schools, and Programs to exactly meet specified deadlines does not in itself constitute a grievance. See *Appendix 7: Timeline for Appointment, Promotion and Tenure*.

**5.6.2. Application for Tenure: The File**

Files submitted to the Director by applicants for tenure may include any material the candidate deems helpful but must include:

1. A copy of the letter to the Chair of the Appointments, Promotion, and Tenure committee requesting tenure.
2. Letters of appointment and reappointment.
3. A list of at least five suitable external referees.
4. An up-to-date *curriculum vitae*.
5. All teaching evaluations and statistical data compiled from student course evaluations since the initial appointment.
6. A list of all courses the candidate has taught since their appointment, with student enrolments.
7. A one-page summary statement of teaching philosophy.
8. Research and scholarly writings and/or evidence of professional accomplishment.

9. Documentation of academic and other administrative work within King's and elsewhere.
10. An inventory checklist of the file's contents. (See *Appendix 6*)

These materials will be collected in a file with a table of contents and submitted as a digital file (as much as can be scanned) and as an identical paper file to the Director of the Program or School for the next stage of deliberation. The Director is responsible for adding to the files:

1. Three letters from referees. See 5.6.3: External Referees: Selection and Instruction. The Director shall solicit all letters. The file will include copies of all correspondence between the Director and external referees.
2. Letter of recommendation from the Director as set out below (5.6.4).
3. Letters received from colleagues evaluating the candidate or file.
4. Any response to the file added by the candidate (5.7.2).
5. An inventory of materials added by the Director, attached at the time the file is sent to APT in care of the President's office. The files are held in the President's Office and must be signed out by those entitled to see them.

### **5.6.3. External Referees: Selection and Instruction for tenure and promotion**

Referees are normally experts in the candidate's field or discipline and will comment primarily on the candidate's scholarly or professional contributions and achievements. The candidate will supply the Director with a list of no fewer than five suitable referees. In all cases, at least one external is nominated by the candidate and at least one is nominated by the Director involved. At least one referee will be from outside Atlantic Canada. The candidate will be notified in advance of the list of referees proposed by the Director and may comment on their suitability to forestall bias, but not to approve or select referees. The candidate has the option to indicate and record any objections to the proposed external referees in their file. Should such referees be chosen, objections will be taken into consideration by the Director and noted in letters of recommendation. Mere differing scholarly, intellectual, or professional approaches are not in themselves enough to constitute bias. Program Directors are entitled to comment on the suitability of referees. In tenure cases, referees will be given a copy of the criteria as set out in 5.6.4 and referees will receive criteria as set out in 5.6.4 and 6.1.5 so that they may comment fully on the relevant criteria. External referees are expected to be arm's length. They will be asked to disclose, in their reports, all of their connections with the candidate to alert those who receive such reports to any possible bias or conflict of interest. In cases where there is a disclosed connection between one or more referees and the candidate, the Director should be satisfied that the reports in question are credible peer assessments.

The Director will send the external referees the digital file accompanied by a letter of advice for evaluating the file. (See *Appendix 8*)

### **5.6.4. Evaluators and Decision Makers**

Evaluators are those who are entitled to offer an assessment or evaluation of the candidate's performance. Decision makers are those who deliberate on and judge the file. Colleague assessment is highly valued at King's. Files normally include letters contributed by those with direct experience of a colleague's work. Only those decision makers specified by the particular Program are entitled to view the letters written by the candidate's colleagues.

**In Combined Honours Programs:**

The Director makes a recommendation on the advice of the decision makers. The decision makers are the tenured and tenure-track members of the Teaching Staff of the Home Program.

*Evaluators are:*

- a) External referees, who receive a copy of the file as submitted by the candidate.
- b) The Director(s) of the secondary Home Program(s). They will have access to a copy of the file as submitted. If they feel it will support their file, candidates may ask the Director(s) of the secondary Home Program(s) to allow ongoing members of the Teaching Staff of the secondary Program access to the submitted file for purposes of evaluation. Their letters will, in turn, be reflected in the evaluation of the Director of the secondary Home Program and they will be included, with that letter, in the complete file of the candidate. The ongoing Teaching Staff is understood, on the basis of past practice, to include those with a Home Program appointment as well as regular Dalhousie cross-appointed members, i.e., members who have had a series of continuous appointments.
- c) Directors/Chairs of any other programs/departments in which the candidate has taught as part of their regular teaching duties. They will have access to a copy of the candidate's c.v. (which is to be kept in a separate folder, apart from the submitted file).
- d) Teaching members of the primary Home Program who are not on-going. They will have access to the c.v.
- e) Members of the Joint Council (if applicable) of the primary Program. They will have access to the c.v.

**In the School of Journalism:**

The Director makes a recommendation on the advice of the decision makers. The decision makers are those who are tenured and tenure-track faculty of the School of Journalism; those who hold multi-year, non-tenure-track, full-time appointments; and the Rogers Chair, whether a part-time or full-time appointment.

*Evaluators are:*

- a) External referees, who receive a copy of the file as submitted by the candidate.

**In the Foundation Year Program:**

The Director makes a recommendation on the advice of the decision makers. The decision makers are the tenured and tenure-track members of the FYP Council of Coordinators.

*Evaluators are:*

- a) External referees, who receive a copy of the file as submitted by the candidate.
- b) The Director(s) of the secondary Home Program(s). They will have access to a copy of the file as submitted. If they feel it will support their file, candidates may ask the Director(s) of the secondary Home Program(s) to allow ongoing members of the Teaching Staff of the secondary Program access to the submitted file for purposes of evaluation. Their letters will, in turn, be reflected in the evaluation of the Director of the secondary Home Program and they will be included, with that letter, in the complete file of the candidate. The ongoing

Teaching Staff is understood, on the basis of past practice, to include those with a Home Program appointment as well as regular Dalhousie cross-appointed members, i.e., members who have had a series of continuous appointments.

c) Directors/Chairs of any other programs/departments in which the candidate has taught as part of their regular teaching duties. They will have access to a copy of the candidate's c.v. (which is to be kept in a separate folder, apart from the submitted file).

d) Faculty and Senior Fellows in the FYP. They will have access to the candidate's c.v.

e) Non-tenure track/tenured members of the Council of Coordinators. They will have access to the candidate's c.v.

### **5.7.1. Criteria for Consideration of Tenure**

Criteria for tenure will be explained clearly to members of Faculty at their time of appointment and on an ongoing basis by the Dean (in the case of Joint Faculty members) or by the Vice-President in consultation with Directors (in the case of other King's Faculty members). Standards in relation to tenure may change over time, but Faculty members shall be evaluated only by the criteria in place at the time of their initial tenure-track or probationary tenure-track appointment.

Academic members should consult with the Directors and with APT and/or the Vice-President regarding current standards and practices for judging tenure. Academic members may exceed current standards within certain criteria and this may allow those considering tenure to balance strengths in one criterion against weakness in some other. Some contribution from all areas (teaching, service, and scholarship and/or professional accomplishment) is nevertheless expected.

Tenure at King's requires the meeting of standards in six areas: (1) academic and/or professional qualifications; (2) teaching effectiveness; (3) contributions to an academic and/or professional discipline; (4) service to the University and Program(s); (5) ability and willingness to work with colleagues; and (6) personal integrity. Minimal achievement in all categories is not in itself enough for tenure to be granted.

**1. Qualifications:** a terminal degree and/or appropriate professional experience and production in the field in which the candidate is employed.

**2. Teaching:** King's is primarily a teaching institution, which values excellence in and commitment to teaching. Full-time members normally carry a 3-3 teaching load. With the exception of the School of Journalism, all King's Programs are interdisciplinary, which means that academic members at King's often carry additional burdens in developing class material and teaching areas not in their field of trained expertise. Evaluators and decision-makers will consider the instructor's participation in curriculum development, innovation in teaching as represented in development of new classes and sections of classes, development of pedagogical tools or initiatives, honours and graduate supervision, and production of notable class materials. While all decision-makers will have access to teaching evaluations, external referees will not normally comment on proficiency or popularity which are better judged internally, but on objective elements of the teaching component of files. Teaching effectiveness will be judged in relation to peer evaluations where available and to student evaluation expressed in relation to statistical Program norms (to the extent that

they are statistically reliable and fair), and to any other evidence candidates may judge helpful.

**3. Contributions to an academic or professional discipline:** This category requires contributions to scholarship in the usual forums of publication and dissemination, such as books, articles, external research grants, unpublished manuscripts or papers, book reviews, electronic publications, documentaries, participation in or organization of conferences and colloquia, participation in professional bodies, public lectures, editorial work, interviews, or any other evidence of effectiveness in scholarly and professional activity deemed appropriate. There must be a substantive demonstration that the candidate can reach a wider scholarly audience or research community; normally, this will be demonstrated by placement of work in publication and particularly peer-reviewed publications. These criteria can also be satisfied by a substantive professional accomplishment or artistic production or performance, and may be demonstrated by the placement of work in other appropriate public fora (e.g. radio broadcast, theatrical performance, musical recording). For collaborative work, it may help to specify what role the applicant played. Given the heavy burdens of teaching and administration at King's, research and scholarship accomplishments may be different from standards prevailing elsewhere. Therefore, King's particularly values assessments of the *quality* of the candidate's work. We also accept comments on the quality of the venue in which the work is placed. For tenure, in addition to demonstrated publication, King's accepts assessments of unpublished work in relation to quality and promise.

**Additional Notes in Relation to the School of Journalism:** Professional accomplishment is the normal standard for tenure in the School. Those appointed to the School of Journalism have often already attained a high degree of professional accomplishment. Those accomplishments, as establishing the suitable professional standing of the candidates, will also receive consideration at times of decision for tenure and promotion. King's will also look for evidence of ongoing professional activity of a high standard outside King's, and for success in teaching as established by peer and student evaluations. In addition, King's normally expects the attainment of a post-graduate academic degree for tenure to be granted. These points are clarification of the special case of Journalism professors. Evaluators and decision makers shall be made aware of these criteria, and of any more particular advice given to candidates.

**4. Administration and Service:** Participation in academic self-government is required at King's. Because of our small size and participatory administrative structure, we ask our faculty to carry heavy burdens of service at all levels of Department, School, Program, Faculty, College, and Board of Governors. For example, untenured faculty have frequently directed Programs and Schools at King's. Participation in academic and collegial administration is highly valued, and serious consideration will be given to the kind of work undertaken and achieved. The kind of work and levels of involvement expected will be clearly set out at the time of appointment. Heavy administrative loads therefore do not normally excuse the requirements to achieve in other areas.

**5. Collegiality:** Because of its size and commitment to team teaching, King's puts strong emphasis on collegiality as expressed in willingness to work with

colleagues, participation in team teaching, generosity in obliging other programs' needs, and active support of colleagues and Programs. Collegiality does not mean amiability or popularity.

**6. Personal Integrity:** Maintenance of the usual standard for uprightness and ethical conduct.

#### **5.7.2. Procedure for Considering Tenure**

The Director of the primary Home Program invites evaluators to submit letters of evaluation, which will be added to the candidate's submitted file. These letters should be received by December 15.

Evaluators in all Programs can view the file or parts thereof as set out in 5.6.4 and are asked to comment on those aspects of the candidate's work that are relevant to their professional and collegial experience of the candidate, but they may also comment more generally on the applicant relative to the criteria for tenure as set out in the *Pink Book 5.7.1*. Decision makers meet to discuss and review the file according to the criteria set out in the *Pink Book 5.7.1*.

The Director then writes a letter to the Appointments, Promotion, and Tenure Committee summarizing the discussion of the decision makers and recommending either that the request for promotion be approved or rejected.

The letters of the Director and of the Chair of Appointments, Promotion, and Tenure making the formal recommendations on the file must address all of the areas of assessment as set out above. Even if the Director feels that the candidate obviously fulfills the requirements in a given area, the basis of the positive assessment must be stated.

Before drawing up their recommendation, the Director(s) shall make, upon request, the file available to the candidate, subject to provisions for confidentiality. The candidate may respond to aspects of the completed file in writing within one week. The response becomes part of the completed file. In making a report and recommendation, a Director should describe the procedure followed in consulting other members of the Program, indicate whether there are significant disagreements between them and address the differences. The methods by which a candidate's performance is evaluated should be clearly stated. The evidence on which the assessment is based should also be included.

At each stage in the tenure process (the academic unit(s), the Faculty committee, and the President), written recommendations that tenure be granted, that consideration be deferred, or that tenure not be granted shall be copied to the candidate at the same time as these are sent to the next stage. The academic member shall have the opportunity to be heard by, and to submit a written statement to, the appropriate body of the academic unit as well as the Faculty Committee on Appointments, Promotion, and Tenure. The candidate shall have the opportunity to respond to and to submit a written statement within one week. That response will become part of the file.

Before the President recommends that tenure should be granted on initial appointment, they shall consult with the Faculty Committee on Appointments, Promotion, and Tenure, and the Program or School involved. Any



recommendation that tenure not be granted or that consideration be deferred shall include a written statement of the reasons for the recommendation with respect to each of the criteria specified in 5.7.1 and as they appear when the member was first appointed.

In addition to or in place of procedures set out above, the Joint Faculty and King's professors in the Combined Honours programs are subject to the Regulations found in *Appendix 1: Regulations Governing Tenure or Promotion of a King's Professor in the Joint Faculty of Arts and Social Sciences*, and *Appendix 2: Relation of the Dean of the Faculty of Arts and Social Sciences, Dalhousie University to the Tenure or Promotion of a King's Professor in the Combined Honours Programs*.

### **5.7.3. Confidentiality**

Letters of evaluators are considered confidential and will only be made available to the candidate with identifying information removed. Evaluators will be advised of this provision, as will colleagues assessing the file.

### **5.7.4. Student Reviews of Instruction**

Part of the evaluation for tenure will be based on student evaluations of teaching. The basis of evaluation will be all numerical data and signed comments written by students. Student evaluation expressed in relation to statistical norms (to the extent that they are statistically reliable and fair) are valuable to establish teaching excellence. Academic Programs and Schools should retain the last seven years of student evaluations.

### **5.7.5. Meetings and Hearings**

The deliberations of Appointments, Promotion, and Tenure and other committees are held to be confidential, and candidates do not attend or participate in such meetings. Where committees decide to hear from persons other than their own membership, candidates will be provided with a summary of such hearings upon request. Candidates may request a hearing from decision-making bodies, which request shall not reasonably be denied.

### **5.7.6. Form Letters**

Attached as *Appendix 8* is a sample form letter which should be used as a template for Directors writing to external referees in cases of tenure and promotion. Where the standard letter is not used, the Director concerned shall give an explanation for the change to APT and to the candidate. All correspondence with external referees relating to the file shall be kept on record in the file.

### **5.7.7. Tenure deliberations**

As part of the deliberations, the Faculty Committee on Appointments, Promotion, and Tenure shall consider all information relevant to the case, including the recommendation of the Director of the academic unit(s), together with a brief statement of the procedures followed within the unit in arriving at this recommendation as reported by the Director. The committee shall also consider any representations made by other members of the University community. The candidate shall have the opportunity to respond to any letters from decision makers. The candidate may in any case request to appear before the committee.

The Faculty Committee on Appointments, Promotion, and Tenure shall consult with the Vice-President on matters of information and procedure, and in any case shall consult with the Vice-President before making a recommendation.

- 5.7.8.** The Faculty Committee on Appointments, Promotion, and Tenure shall consult with the Director of the academic unit and with others as may seem useful to the committee, before coming to a decision to make a recommendation to the President which varies from the recommendation of the Director. If the Director has recommended either that tenure not be granted or that (contrary to the candidate's wishes) consideration be deferred, or if the committee anticipates difficulty in reconciling a favourable unit recommendation with standards prevailing generally in the faculty, the committee shall invite the candidate to appear before it and/or to submit a written statement. In giving its reasons, the committee should indicate how the candidate stands, in its view, in respect to each of the normal criteria for considering tenure.
- 5.7.9.** The Faculty Committee on Appointments, Promotion, and Tenure shall then make a recommendation to the President, indicating at the same time any dissent from this recommendation among its members and within the unit concerned. The candidate will be provided with a copy of the letter of recommendation. The President may consult with the Appointments, Promotion, and Tenure Committee before or after receiving this recommendation.
- 5.7.10.** Before making a recommendation to the Board, the President shall first inform the candidate, the Director of the unit, and the Appointments, Promotion, and Tenure Committee of the recommendation.
- 5.7.11.** In a case where tenure is being considered in any part of the final year of a contract and tenure is denied, the candidate will then have the right to be reappointed for one further year.
- 5.7.12.** The Appointments, Promotion, and Tenure Committee, or the President acting in turn under these proceedings, shall consider any allegation that improper procedures have been followed at earlier stages of any case and shall have the authority, inasmuch as it may affect the disposition of the case, to send the case back for further consideration.
- 5.7.13.** In no case shall deliberations of the Faculty Committee on Appointments, Promotion, and Tenure be transacted in the absence of a quorum, which shall be two-thirds of the members. In the event of a resignation, the resulting vacancy shall be filled by election unless there have been interviews as part of the tenure assessment, in which case the vacancy shall remain unfilled for the balance of the deliberations.
- 5.7.14.** Where the President rejects the recommendation of the Faculty Committee on Appointments, Promotion, and Tenure in a manner more favourable to the candidate, the President's recommendation to the Board of Governors shall be accompanied by the letter from Appointments, Promotion, and Tenure.

### **5.8.1. Appeals or Reference to University Tenure Committee**

If the academic unit recommends tenure be granted or that the case be deferred, and if the Faculty Committee on Appointments, Promotion, and Tenure recommends otherwise, the candidate shall have the right to initiate a University Tenure Committee as established in paragraph 5.8.2 by writing to the President, no later than 20 working days after the candidate receives notice of the recommendation from the Committee on Appointments, Promotion, and Tenure.

**5.8.2.** A University Tenure Committee shall consist of three members, one named by the academic member concerned, one named by the President, and a chair agreed upon by the two so named, all three to be selected from the current members of the Board of Governors and Faculty who have not been involved as decision makers at an earlier stage. At least one member shall be from the Board of Governors and at least one from the Faculty. A University Tenure Committee, after considering all representations on the matter submitted to it, shall report its conclusions and any recommendations to the President and to the candidate concerned at the same time.

**5.8.3.** Before rejecting a recommendation from the Appointments, Promotion, and Tenure Committee for tenure or for deferral, the President shall seek further advice from a University Tenure Committee. The President shall notify the candidate of their intention to resort to a University Tenure Committee within ten (10) working days after notice to the candidate of the recommendation of the Appointments, Promotion, and Tenure Committee.

**5.8.4.** When either the candidate or the President requests consideration of the candidate's case by a University Tenure Committee, each shall, within ten (10) working days of notice given by one to the other, nominate in writing to the Secretary of the Board the member of the committee selected.

**5.8.5.** The President shall reconsider the matter in the light of the report of the University Tenure Committee. The President's recommendation to the Board of Governors shall be accompanied by the University Tenure Committee's report. The President's recommendation and any decision of the Board of Governors shall be provided to the candidate as a final disposition of the matter. The recommendations may be: a further appointment with tenure; an appointment without tenure, with the question of tenure deferred; an appointment without tenure, with no undertaking to consider tenure again; or none of these.

### **5.9.1. Limitations of Appeals Concerning Tenure**

In view of the opportunities for appeal specially associated with the procedures for considering tenure, a timely decision not to recommend or **not** to grant tenure shall **not** by itself constitute an injustice or a grievance to which the general procedures for redress of grievances established by Section 7 of these regulations apply. Candidates have the right to request the President in writing to strike a University Tenure Committee in the timely manner set out a 5.8.1-5.9.1 for other considerations, and the President will decide whether or not to grant such a request.

## **5.9.2 Appeals and Grievances**

Appeals in relation to tenure are set out at *Pink Book* 5.8.1-5.9.1. Appeals are made in relation to matters of substance and on the merits of the case. In addition, some matters, such as breaches of proper procedure and natural justice, may constitute a grievance in relation to both tenure and promotion, and fall under the Redress of Grievances--Section 7 of the *Pink Book*.

## **6. PROMOTION**

### **6.1. Introduction**

Candidates applying for both tenure (Section 5) and promotion (Section 6) at the same time should read the promotion section carefully. Candidates will submit a single file addressing both tenure and promotion criteria.

Promotion is reached through different judgement from tenure. Promotion is more particularly dependent on professionally recognized achievement, and while the process follows the same course, decisions may be based on less tangible qualities. Should decision makers judge the achievement to be not substantial enough, even though it may appear to meet the criteria, promotion may not be granted; it is for this reason that recommendations against promotion are not in themselves grievable, though there may be related procedural matters that are.

Promotion to full professor is a distinction, not a career step, and decision makers should be informed of the magnitude of their decision. Because promotion rests on achievement, candidates can apply for promotion at any time. Normally, application for promotion to Associate Professor is made at the time of the decision on tenure. At five years after promotion to Associate Professor, the Vice-President will inform faculty members that they have the right to apply for Full Professor, if they have not already done so, and will fully discuss the requirements for such promotion with the member.

#### **6.1.1. Application for Promotion: Deadlines & Procedure**

A member must apply to the Chair of the Appointments, Promotion, and Tenure Committee in care of the President's Office no later than September 15 and must copy their letter of application to the Vice-President and their Director(s). In the case of Joint Faculty members who are proceeding through the Dalhousie process, notice should be sent to the Vice-President as set out by Dalhousie. The King's member must submit the supporting file with the nominations of external referees to the Director involved. This will usually be the Director of the main Home Program. Normally, this is considered the complete application. In exceptional circumstances, important material may be added after consultation with the Vice-President.

Directors will submit a completed file with supporting letters and recommendations to the Appointments, Promotion, and Tenure Committee no later than January 15. The Appointments, Promotion, and Tenure Committee will make a recommendation to the President no later than February 28. In the case of Faculty members in the Combined Honours Programs, the President will forward the file to the Dean of the Faculty of Arts and Social Science, who will respond by March 31. The President will then inform the candidate of the

recommendation to the Board by May 30. Other than the May 30 deadline, failure on the part of committees, Schools, and Programs to exactly meet deadlines does not in itself constitute a grievance. For deadlines, please see *Appendix 7*.

#### **6.1.2. Application for Promotion: The File**

Candidates who apply for tenure and promotion at the same time submit only one file. Files submitted to the Director by applicants for promotion, or joint tenure and promotion, may include any material the candidate deems helpful but must include:

1. A copy of the letter to the Chair of the Appointments, Promotion, and Tenure Committee copied to the President requesting promotion.
2. Letters of appointment and reappointment.
3. A list of at least five suitable external referees for promotion to Associate and at least six for promotion to Full Professor.
4. An up-to-date *curriculum vitae*.
5. All teaching evaluations and statistical data compiled from student course evaluations since the initial appointment.
6. A list of all courses the candidate has taught since their appointment, with student enrolments.
7. A one-page summary statement of teaching philosophy.
8. Research and scholarly writings and/or evidence of professional accomplishment.
9. Documentation of academic and other administrative work within King's and elsewhere.
10. An inventory checklist of the file's contents. (See *Appendix 6*)

These materials will be collected in a file with a table of contents and submitted as a digital file (as much as can be scanned) and as an identical paper file to the Director of the Program or School for the next stage of deliberation. The Director is responsible for adding to the files:

1. Three letters from referees for promotion to Associate and four for Full Professor. The Director shall solicit all letters. The file will include copies of all correspondence between Directors and external referees.
2. Letter of recommendation from the Program Director to the Appointments, Promotion, and Tenure Committee copied to the President as set out below (6.1.4). Any letters received from colleagues evaluating the candidate or file must be included.
3. Any response to the file added by the candidate, as per *Pink Book 5.7.2*.
4. An inventory of materials added by the Director, attached at the time the file for APT is sent to the President's Office; in practice, files for APT are held in the President's Office and must be signed out by those entitled to see them.

#### **6.1.3. External Referees: Selection and Instruction**

See 5.6.3.

#### **6.1.4. Evaluators and Decision Makers**

See 5.6.4.

### **6.1.5. Criteria for Promotion**

As indicated in the criteria in considering tenure (5.7.1), appointments at the Lecturer or Assistant Professor level indicate an expectation and a firm prediction that the academic member will contribute in research, teaching, and service to the life of the institution. Promotion to Associate Professor furthers that prediction and indicates some combination of:

- a) Substantial achievement in relevant academic research or professional work;
- b) A record of accomplished teaching in the University or Universities; AND
- c) Significant service in the work of Program, School, Faculty, and/or the administration of the University or Universities.

Promotion to the rank of Full Professor indicates achievement in all these categories and that in some or all of these areas, the applicant has attained a level of independence and originality such that rather than simply participating in these spheres of activity, they have begun to define and create them. For the rank of Full Professor, there is an emphasis on relevant academic research or professional work, which means that the academic member must have attained a level of substantial achievement in this area.

### **6.2. Procedure for Considering Promotion**

King's professors who are members of Joint Faculty (see 3.2.1) (*Appendix 1*) and King's professors in the Combined Honours programs (*Appendix 2*) are subject to the Regulations found in the appendices at the end of this document.

The Director of a Program invites evaluators to submit letters of evaluation, which will be added to the candidate's submitted file to be considered by decision makers.

Evaluators and decision makers view the file (or parts thereof: see 5.6.4) and are asked to comment on the candidate's work relative to the criteria of promotion as set out in 6.1.5. The Director then writes a letter to the Appointments, Promotion, and Tenure Committee summarizing the discussion of the decision makers and recommending either that the request for promotion be approved or rejected.

The letters of the Director and of the Chair of Appointments, Promotion, and Tenure, making the formal recommendations on the file must address all of the areas of assessment as set out above. Even if the Director feels that the candidate obviously fulfills the requirements in a given area, the basis of the positive assessment must be stated.

Before drawing up their recommendation, the Director shall make, upon request, the file available to the candidate, subject to provisions for confidentiality. The candidate may respond to aspects of the completed file in writing within one week. The response becomes part of the completed file. In providing a recommendation, the Director shall indicate any dissent from this recommendation among members of the appropriate Program or Departmental committee, or, if there is no committee, among other members of the Program(s) or School(s) of the University.

At each stage in the promotion process (the academic unit(s), the Faculty committee, and the President), written recommendations that promotion be granted, that consideration be deferred, or that promotion not be granted shall be

copied to the candidate at the same time as these are sent to the next stage. The academic member shall have the opportunity to be heard by, and to submit a written statement to, the appropriate body of the academic unit as well as the Faculty Committee on Appointments, Promotion, and Tenure. The candidate shall have the opportunity to respond to and to submit a written statement within one week. That response will become part of the file. Before the President recommends that promotion should be granted on initial appointment, they shall consult with the Faculty Committee on Appointments, Promotion, and Tenure, and the Department, Program, or School involved. Any recommendation that promotion not be granted shall include a written statement of the reasons for the recommendation in respect to each of the criteria specified in 5.7.1 as they appear when the member was first appointed.

**6.2.1.** If the President decides against promotion when the Faculty Committee on Appointments, Promotion, and Tenure has recommended promotion, the President shall communicate this decision to the academic member concerned, stating in writing the reasons.

**6.2.2.** Neither a recommendation of the Faculty Committee on Appointments, Promotion, and Tenure that promotion not be granted nor a similar decision by the President shall in itself constitute a cause for grievance under Section 7 of these regulations. An academic member may resubmit an application for promotion according to these procedures in any subsequent year.

**6.2.3. Confidentiality**

Letters of evaluators are considered confidential and will only be made available to the candidate with identifying information removed. Decision makers will be advised of this provision, as will colleagues assessing the file.

**6.2.4. Student Reviews of Instruction**

Part of the evaluation for promotion will be based on student evaluations of teaching. The basis of evaluation will be all numerical data and signed comments written by students. Student evaluation expressed in relation to statistical norms (to the extent that they are statistically reliable and fair) are valuable to establish teaching excellence. Academic Programs and Schools should retain the last seven years of student evaluations.

**6.2.5. Meetings and Hearings**

The deliberations of the Appointments, Promotion, and Tenure Committee and other committees are held to be confidential and candidates do not attend or participate in such meetings. Where committees decide to hear from others than their own membership, candidates will be provided with a summary of such hearings, upon request. Candidates may request a hearing from decision-making bodies, which request shall not reasonably be denied.

**6.2.6. Form Letters**

Attached as *Appendix 8* is a sample form letter which should be used as a template for Directors writing to external referees in cases of tenure and promotion. Where the standard letter is not used, the Director concerned shall give an explanation for the change to APT and to the candidate. All

correspondence with external referees relating to the file shall be kept on record in the file.

**6.2.7. The Decision**

As part of the deliberations, the Faculty Committee on Appointments, Promotion, and Tenure shall consider all information relevant to the case, including the recommendation of the Director of the academic unit(s), together with a brief statement of the procedures followed within the unit in arriving at this recommendation as reported by the Director. The committee shall also consider any representations made by other members of the university community. The candidate shall have the opportunity to respond to any letters from decision makers. The candidate may in any case request to appear before the committee. The Faculty Committee on Appointments, Promotion, and Tenure shall consult with the Vice-President on matters of information and procedure, and in any case must consult with the Vice-President before making a recommendation.

The Faculty Committee on Appointments, Promotion, and Tenure shall consult with the Director of the academic unit, and with others as may seem useful to the committee, before coming to a decision to make a recommendation to the President which varies from the recommendation of the Director. If the Director has recommended either that promotion not be granted, or if the committee apprehends some difficulty in reconciling a favourable unit recommendation with standards prevailing generally in the faculty, the committee shall invite the candidate to appear before it and/or to submit a written statement. In giving its reasons, the committee should indicate how the candidate stands, in its view, in respect to each of the normal criteria for considering promotion.

- 6.2.8.** The Faculty Committee on Appointments, Promotion, and Tenure shall then make a recommendation to the President, indicating at the same time any dissent from this recommendation among its members and within the unit concerned. The candidate will be provided with a copy of the letter of recommendation. The President may consult with the Faculty Committee on Appointments, Promotion, and Tenure before or after receiving this recommendation.
- 6.2.9.** Before making a recommendation to the Board, the President shall first inform the candidate, the Chair or the Director of the unit, and the Faculty Committee on Appointments, Promotion, and Tenure of the recommendation.
- 6.2.10.** The Faculty Committee on Appointments, Promotion, and Tenure, or the President acting in turn under these proceedings, shall consider any allegation that improper procedures have been followed at earlier stages of any case and shall have authority, if they believe it may affect the disposition of the case, to send the case back for further consideration.
- 6.2.11.** In no case shall deliberations of the Faculty Committee on Appointments, Promotion, and Tenure be transacted in the absence of a quorum, which shall be two-thirds of the members. In the event of a resignation, the resulting vacancy shall be filled by election unless there have been interviews as part of the promotion assessment, in which case the vacancy shall remain unfilled for the balance of the deliberations.



- 6.2.12.** Where the President rejects the recommendation of the Faculty Committee on Appointments, Promotion, and Tenure in a manner more favourable to the candidate, the President's recommendation to the Board of Governors shall be accompanied by the letter from Appointments, Promotion, and Tenure.

## **7. REDRESS OF GRIEVANCES**

### **7.1.1. Discussion of Grievance with Party or Parties Concerned**

When an academic member believes that they have been given less than fair treatment in any matter relating to an academic or administrative role assigned them by the University or its officers, and procedures for settling the matter are not expressly provided by regulations of the University, they should discuss the matter directly with the party or parties concerned, including the Vice-President, in an attempt to negotiate a mutually satisfactory resolution without recourse to further procedures.

### **7.2.1. Appeal to the University President**

If the aggrieved academic member (the "Complainant") is not satisfied with the outcome of direct discussion with the other party concerned, the Complainant may submit their account to the President in writing, with a copy provided to the other concerned party. The President, or the President's delegate, shall meet with the Complainant within 15 working days and shall, after considering the matter, communicate a decision to the Complainant.

### **7.3.1. Appeal to University Hearing Committee**

If the Complainant is not satisfied with the disposition of a matter (other than a recommendation for termination of employment: see Section 9), they may request the President submit the matter to a University Hearing Committee.

- 7.3.2.** A University Hearing Committee shall consist of three members, one named by the academic member concerned, one named by the President, and a chair agreed upon by the two so named, all three normally to be selected from the current members of the Board of Governors and Faculty who have not been involved as decision makers at an earlier stage. At least one member shall be from the Board of Governors and at least one from the Faculty. A University Hearing Committee, after considering all representations on the matter submitted to it, shall report its conclusions and any recommendations to the President and to the academic member concerned at the same time.

- 7.4.3.** The University Hearing Committee shall conduct hearings *in camera* in the presence of the parties concerned with the alleged grievance, unless both parties agree to open hearings. Any party concerned may elect to be represented or assisted at the hearings by counsel or other representative. The Committee shall consider all representations on the matter, provide all reasonable opportunity for interested persons to appear, and shall report its conclusions and recommendations to the complainant and to the President within 15 working days.

### **7.4.4. Reconsideration by the President and Decision**

The President shall reconsider the matter in light of the report of the University Hearing Committee and report on the issue, including recommendations where

appropriate, appended with a copy of the report of the University Hearing Committee to the Board of Governors Executive *in camera* and shall provide a copy of the recommendations, if any, to the member as a final disposition of the matter.

## **8. SUSPENSION**

- 8.1.1.** The President, by written notice for stated cause involving an immediate threat to the functioning of the University, or a threat to any member of the University, or inability to carry out reasonable duties because of physical or emotional impairment (where the person concerned has refused to agree with leave arrangements proposed by the President) may relieve an academic member of some or all university duties and may withdraw university privileges except salary and other benefits. The President shall advise the Executive of the Board of Governors of action to suspend any academic or administrative member and of reasons for the action.
- 8.1.2.** If a member is suspended by the President, the written notice of suspension given the member shall specify the cause in accordance with 8.1.1.
- 8.1.3.** A suspended member may request that the matter be considered by a University Hearing Committee as constituted in 7.3 in accordance with procedures for redress of grievances, and the report of a committee in this case shall be provided to the member and the Chair of the Board of Governors, and in addition to the President who will make a recommendation to the Board of Governors at the earliest possible date. A copy of the recommendation shall be provided to the member.
- 8.1.4.** The President may initiate procedures established in Section 9 for dismissal for cause at any time in the process. If the President intends to recommend dismissal, the member may require in writing that the matter be submitted to arbitration as set out in 9.4.1.
- 8.1.5.** The same procedures shall apply in cases involving librarians.

## **9. DISMISSAL FOR CAUSE**

### **9.1.1. Termination of Appointments for Cause**

The University may terminate an academic or administrative appointment if cause has been determined as set out below.

### **9.2.1. Cause**

Reasons for dismissal constituting cause include but are not limited to misrepresentation as to credentials, gross misconduct, persistent neglect of duty to students or to the University, refusal to carry out policies adopted by the governing bodies of the University, failure to maintain an acceptable standard of competence in duties appropriate to the appointment.

### **9.3.1. Preliminary Procedure for Dismissal**

When reason arises to question the fitness to continue service of an academic member who is on an appointment with tenure, without term or whose term appointment has not expired, the President shall, in an effort to resolve the issue,

request that the Vice-President and the Director of the Program or School meet with the member in the presence of their advisor and a disinterested member of the faculty having tenure chosen by the Chair of Faculty. The Vice-President shall make a recommendation to the President.

- 9.3.2. If the matter is not settled, the President will meet with the member concerned, their advisor, and a disinterested member of the faculty having tenure who has been chosen by the Chair of Faculty.
- 9.3.3. If these attempts to settle the matter fail, the President shall inform the member in writing of the intention to recommend dismissal and of the reason for doing so in sufficient detail to enable the member to prepare a case should they wish to.
- 9.3.4. Similar procedures shall be followed in the case of dismissal for cause of a professional librarian having an appointment without term.

**9.4.1. Arbitration Procedure**

If the academic member or academic administrative officer wishes to contest the President's decision to recommend dismissal, within fourteen (14) working days of receipt of notice from the President they shall notify the President in writing and request that the matter be submitted to arbitration under the Arbitration Act of Nova Scotia.

- 9.4.2. Without undue delay, the President or their designate and the member shall meet to name jointly an arbitration committee.
- 9.4.3. The arbitration committee shall consist of one or of three persons, as the President and the faculty member may agree, and no member of the committee shall be a full-time employee of the University of King's College or Dalhousie University.
- 9.4.4. The President or their designate and the member shall normally agree to use a single arbitrator. If they are unable to agree on a candidate for appointment as single arbitrator, or either party objects to the use of a single arbitrator in the matter, the parties shall agree to use an arbitration committee composed of three (3) persons. On agreement for the formation of an arbitration committee of three persons, the President and member have twenty-one (21) days to each name one arbitrator to the committee. The two arbitrators thus named shall name a third, who shall act as Chair; if they do not act, the third shall be appointed in accordance with the Arbitration Act of Nova Scotia and shall act as Chair.

The parties shall each be responsible for one half (1/2) of the fees and expense of a single arbitrator and other expenses of the hearing. Each party shall pay the cost of its appointee to a three-person arbitration committee; in addition, each of the parties shall jointly share the fees and expenses of the chair and other expenses of the hearing. Costs of counsel and expenses of witnesses shall be borne by the party retaining or calling the same.

- 9.4.5. The arbitration committee shall convene without undue delay and shall attempt to conclude proceedings and render a decision as expeditiously as possible. A quorum of a three-person arbitration committee shall be all three (3) members. Should a member of the arbitration committee resign or be unable to continue as

an arbitration committee member for any reason, a replacement shall be designated.

- 9.4.6.** The committee shall notify all persons concerned of the time and place arranged for hearings; it shall afford a representative of the University and the member the right to appear in person with or without counsel or other advisors, and to examine and cross-examine witnesses; it shall require each party to indicate the nature of evidence to be relied upon in order to enable the other party to make a fair and full answer; it shall hold its hearings *in camera* unless both parties agree in writing that hearings be open; and it shall instruct all witnesses appearing before the committee *in camera* to treat all evidence and proceedings as confidential.
- 9.4.7.** On all other matters, the arbitration committee may establish its own procedures, including arrangements to keep a logged audiotape of all or any part of the proceedings for its own use.
- 9.4.8.** The arbitration committee shall not have the right to alter any provision of the *Pink Book*.

The President and the member may agree in writing to vary procedures or extend time limits provided for arbitration. In the absence of agreement, failure by one of them to observe the procedures outlined permits the other party to proceed in accordance with the provisions of the Arbitration Act of Nova Scotia.

- 9.4.9.** The arbitration committee shall issue to the University and the member a written decision which contains findings of fact, reasons, and its conclusions either that cause for dismissal has not been shown and that any suspension in effect shall be rescinded, or that cause for dismissal has been shown. The decision of the majority shall be the decision of the arbitration committee. When there is no majority decision, the decision of the Chair shall be the decision of the arbitration committee.
- 9.4.10.** In the event that the arbitration committee finds cause for dismissal, it may, in its decision, recommend arrangements that it considers appropriate in severance of employment of the member by the University.
- 9.4.11.** The conclusion of the arbitration committee for dismissal shall be final and binding on the member and the University.
- 9.4.12.** Should the arbitration committee make a conclusion for dismissal, the President shall make a recommendation to the Board of Governors to terminate the employment of the member. Either the academic member or the University may decide to make public the decision of the arbitration committee.

## **10. RESIGNATION AND TERMINATION OF EMPLOYMENT BY MEMBER**

### **10.1. Academic Member with Tenure**

To protect important University interests from injury, full-time academic members with tenure undertake, if they should intend to resign, to give as early notice of intention as possible. They shall, in any event, communicate their resignation in writing, addressed to the President and transmitted through the Director of the Program or School, no later than February 28, or at least four (4) months before

the resignation is to be effective if that date is other than the end of the academic year, June 30.

**10.2. Employment, Salary, Benefits Cease on Commencement of New Employment**

Salary and benefits remain until the final working date of the faculty member.

**11. NEW APPOINTMENTS - COMMENCEMENT OF EMPLOYMENT**

**11.1. Travel Costs**

The University may agree in advance to provide transportation costs for newly appointed academic or administrative members. Normally, assistance will constitute one-way fare for a member and, if married or in a common-law relationship, for the spouse and children from their place of residence when appointed, to Halifax, economy class airfare or less, by the most direct route and the most economical mode of transport. If the member travels by private car or by other than the most direct route, they may be assisted, to an amount equal to the lowest cost of the most direct commercial transportation.

**11.2. Cost of Moving Effects**

For normal appointments, the University may agree in advance to contribute a portion of the costs of moving by surface freight household goods and personal effects (not including automobiles) from the place of residence of a newly appointed member. Unless otherwise agreed, the University's contribution to these costs will not exceed two-thirds (2/3) of the costs incurred or a specified maximum, whichever is the lesser, and the contributions will be paid only on presentation of three (3) estimates or invoices of commercial movers or transportation companies. Ordinarily, new appointees should obtain commercial estimates in advance of any move as a basis for negotiating arrangements for contribution by the University.

**11.3.** Special consideration will be given to full payment for moving essential professional equipment and books, when such items have been adequately listed and described and the full cost of moving these estimated in a separate submission sent in advance for approval of the President.

**11.3.1. Recovery if Voluntary Failure to Carry Out Contract**

A member who voluntarily fails to carry out their contract of service with the University after the effective date of the appointment is liable to repay a proportionate share of the amount expended by the University to assist transportation and moving costs to Halifax, and that amount may be withheld from salary or other benefits before termination of employment.

**11.4. Commencement of Salary**

A newly appointed member will normally be added to the University payroll on the date when the member assumes their duties to the University in Halifax, on or after the effective date of the contract.

**11.4.1. Commencement of Other Benefits**

A newly appointed member will acquire the right to participate in the University's pension plan, insurance, and other benefit programs upon first day of employment or as set out under various benefit policies.

**12. AMENDMENTS AND REVISIONS**

- 12.1.** These regulations are subject to amendment from time to time. The *Pink Book* will be considered for revision every five years by a special *Pink Book* revision committee in consultation with the Vice-President. The Appointments, Promotion, and Tenure Committee has the responsibility to review any proposed revisions as necessary. APT shall then recommend the revisions to the President and Faculty for final approval by the Board of Governors.

**13. EFFECT OF REGULATIONS**

- 13.1.** These regulations as amended from time to time are incorporated into and are effective as a part of the terms of appointment of all academic members and librarians employed by the University of King's College unless special contracts of appointment otherwise provide.
- 13.2.** Each academic member appointed by the Board of Governors shall be provided with a copy of these regulations and any amendments. They will also be posted to the university's website.

**Appendix 1: REGULATIONS GOVERNING Tenure or Promotion of a King's Professor in the Joint Faculty of Arts and Social Sciences (see 3.2.1)**

In the case of a King's professor in the Joint Faculty of Arts and Social Sciences as candidate for tenure or promotion, the following procedure applies:

- Professors in the Joint Faculty of Arts and Social Sciences are governed by the regulations for tenure and promotion of Dalhousie faculty as set out in the current Collective Agreement between the Dalhousie Faculty Association and the Board of Governors of Dalhousie University. Notice of a candidate's application should be given to the Vice-President of the University of King's College.
- (1) Having asked the King's Vice President how the candidate stands at King's, the professor's department makes its recommendation to the Dean. When the complete application has been received, the Dean will transmit a copy of it to the Chair of the King's Faculty for informational purposes.
  - (2) A committee of FASS considers the application and makes its recommendation to the Dean.
  - (3) Given (1) and (2), the Dean arrives at their recommendation and communicates it to the President of King's.
  - (4) The President of King's, having consulted the advice of the King's Faculty Committee on Appointments, Promotion, and Tenure, writes to the President of Dalhousie. (It is understood that the King's Faculty Committee will have full access to all documents pertinent to the application.)
  - (5) The President of Dalhousie reviews the recommendations of the Department, FASS Committee, Dean and President of King's, makes their decision, and advises the candidate accordingly.
  - (6) If the decision is negative, the candidate may appeal the decision through the Dalhousie University Tenure/Promotion Appeals Committee.
  - (7) Whether or not tenure or promotion is granted at Dalhousie, King's may independently and at any time grant tenure or promotion, as far as King's itself is concerned, to any King's professor in the Joint Faculty of Arts and Social Sciences.

Marion G. Fry, President  
University of King's College

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Rowland J. Smith, Dean  
Faculty of Arts and Social Science

6 February 1991, as amended 17 September 1991 and 11 December 2017

## **Appendix 2: Relation of the Dean of the Faculty of Arts and Social Sciences, Dalhousie University to the Tenure or Promotion of a King's Professor in the Combined Honours Programs**

In the case of a King's professor seeking tenure in one of the Combined Honours Programs jointly offered by the University of King's and Dalhousie University, the following procedure applies:

The candidate applies and is considered for tenure or promotion in the usual way as set out in *Pink Book* Sections 5 and 6 with the addition of the following step:

Once the Appointments, Promotion, and Tenure Committee has arrived at a recommendation as to whether the candidate should be granted tenure/promotion or not, the complete file and the recommendation will be forwarded to the Dean of the Faculty of Arts and Social Sciences for their consideration.

The Dean of the Faculty of Arts and Social Sciences will indicate in writing to the President of the University of King's College by an agreed upon date whether they concur with King's judgement that the candidate should be granted or refused tenure/promotion to teach in a Program belonging to the offerings of the Faculty of Arts and Social Sciences of Dalhousie University.

If the Dean does not concur in a tenure case, the President of King's would first seek further advice from a University Tenure Committee (*Pink Book* 5.8.1-5.8.5.).

In the event of continuing disagreement between King's and the Dean, the provisions under the "Structure and Organization" documents of the Combined Honours Programs (*Green Book*) will apply.

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William Barker, President  
University of King's College

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Marion Binkley, Dean  
Faculty of Arts and Social Sciences

21 September 2005, with *Pink Book* references amended June 2017



### **Appendix 3: New Members of the King's Faculty and "Y" and On Cross-Appointments**

At King's, "Y" represents the number of years of creditable service in universities or equivalent institution(s) plus the sum of weighted years of other relevant experience (e) and 3 is added to Y for those possessing the PhD degree or its equivalent.

The statement that "the 'Y' value of each new appointment will be arrived at in accordance with the principles outlined in the collective agreement at Dalhousie" refers to the Appendix to the current collective agreement entitled "Calculation of Y Values" (DFA Collective Agreement *Appendix III*).

King's follows those (Dalhousie) guidelines except insofar as it has developed its own specific principles which are contained in the most current version of this document "New members of the King's Faculty and 'Y'". These latter take precedence where they differ from those in the Dalhousie contract. For interpretation of "s" and "e" see Appendix III from the Dalhousie Collective Agreement.

#### **1. Principles of "Y" Placement for Journalism**

The following are recognized credits in calculating "Y":

Journalism

First six (6) years full-time employment in the field

@ 1/2 an e per year = 3 e

Thereafter 1 year = 1 e

For Journalism appointments, the maximum e value is 20.

Approved by Faculty Nov 26, 2002

Approved by the Board of Governors December 05, 2002

Amended XXX

#### **Appendix 4: Additional Teaching Appointments of Faculty Fellows and Senior Fellows in the Humanities**

Faculty Fellows and Senior Fellows in the Humanities may be appointed to teach in the Combined Honours Programs normally with the following restrictions:

(a) While a person is a Faculty Fellow, they are eligible to teach as an overload up to one full class in another Program in the University subject to Program needs and will be compensated on a per course stipend.

(b) Senior Fellows in the Humanities may accept an offer to teach up to one full class in another Program in the University subject to Program needs and will be compensated either through teaching relief or a per course stipend.

Approved by Faculty, November 26, 2002

Approved by Board of Governors, December 2, 2002

## **Appendix 5: Home Programs and Cross-Appointments**

Because many members of the King's Faculty teach in more than one academic Program, the university has initiated a method of establishing stability in cross-appointments. Home Program designation is meant to assist in coordinating teaching among programs, to enable long-term academic planning, and to provide assurances to both faculty members and Programs about their positions. Faculty who are appointed in the interdisciplinary Programs other than the School of Journalism will have the common name Professor of Humanities.

Home Program designation reflects the decision of both the Program and the individual faculty member to characterize an appointment in a Program or Programs as a permanent commitment understood as such by both, upon demand by either side. So, for instance, if one has a two-third (2/3) home in Foundation Year and a one-third (1/3) home in Contemporary Studies, one might teach any combination of courses in any given year, but one would have the right to teach in these Programs, in these proportions, in any year, proper notice being given to the academic Program.

Conversely, the Program will have the right to require such teaching, proper notice being given to the academic member. Clarity concerning such permanent commitments helps the University and the Programs to establish and maintain adequate teaching. It is understood that in accepting a Home Program designation, a Faculty member commits themselves to full participation in the governance, teaching, and the administration of that Program.

Normally, the Home Program designation which is in effect at the time of appointment will be assumed to determine Program(s) through which Faculty members will apply and be considered for tenure and or promotion.

From time to time it will be necessary to adjust Home Programs designations to reflect actual practice or the wishes of Faculty members and Programs. Either the Faculty member or the Program(s) concerned may initiate a process of reconsideration in consultation with the Vice-President; the designation will not be changed without the agreement of Faculty members and Program(s) and changes in the established teaching commitments of Programs will need the consideration of the normal planning processes of Faculty.

Approved by Faculty, 04-02-17

Approved by Board of Governors, 04-05-17

## Appendix 6: Promotion and Tenure File Outline Checklist for Candidate

<input type="checkbox"/> <b>Inventory Sheet</b>	→ Includes a one-page list of items in the file (in order of appearance).
<input type="checkbox"/> <b>Cover Letter (1-2 pages)</b>	→ Letter addressed to Chair of APT. → Clearly identify whether the file is in support of tenure and promotion. (Indicate whether Associate or Full Professor). → Briefly explain why tenure and promotion is warranted.
<input type="checkbox"/> <b>Letters of Appointment</b>	→ Include application letters related to appointment, reappointment, deferral of tenure, and promotion to Associate Professor.
<input type="checkbox"/> <b>Referees</b>	→ List of potential referees (5 or more). Must be arm's length. Include for each proposed referee potential contact information and a brief statement of their expertise.
<input type="checkbox"/> <b>Up-to-Date Curriculum Vitae</b>	→ Include in CV personal information, educational background, employment history, teaching responsibilities, scholarly, research activities, and administrative and professional activities.
<input type="checkbox"/> <b>Teaching Documents</b>	→ 1-page summary statement of teaching. → List of all courses taught with number of students each year. → List of all honours and graduate students indicating responsibility. → All course outlines. → Class evaluations with departmental means. → All signed qualitative comments for all classes (no unsigned comments). → Any supplemental materials to support teaching effectiveness.
<input type="checkbox"/> <b>Research Documents and/ or Professional Portfolio</b>	→ Copies of all publications including those submitted, accepted, forthcoming and in press; if not yet published, a copy of the letter from the publisher confirming status also must be included.
<input type="checkbox"/> <b>Documentation of administrative work, internal and external</b>	
<input type="checkbox"/> <b>Other appropriate material</b>	
<input type="checkbox"/> <b>Complete, sign and submit this checklist with application</b>	

Signature

Date

## Appendix 7: Academic Timeline for Appointment, Promotion and Tenure

### REAPPOINTMENT

Member	Deadlines	Process	Criteria
King's Programs Faculty	15 September 15 October 15 November 15 December	Application to APT Unit to APT APT to King's President King's President to Member	King's 3.2.7
Combined Honours Programs Faculty	15 September 15 October 15 November 15 November  1 December 15 December	Application to APT Unit to APT APT to King's President King's President to Dal Dean Dean to King's President King's President to Member	King's 3.2.7
Joint Faculty	15 September 15 November 1 December	Application to Dal Dean Dean to APT APT to King's President King's President to Dean	DFA Clause 14

### TENURE

Member	Deadlines	Process	Criteria
King's Programs Faculty	15 September 15 January 28 February 30 May	Application to APT King's Unit to APT King's APT to President King's President to Member	King's 5.4.1-5.7.14
Combined Honours Programs Faculty	15 September 15 January 28 February 31 March 30 May	Application to APT King's Unit to APT King's APT to President Dal Dean to President King's President to Member	King's 5.4.1-5.7.14
Joint Faculty	15 September - October 21 - 31 December 31 January 15 February 28 February	Application to Dal Unit Standing at King's Dal Faculty  Dean to APT King's APT to President King's President to Dean Dal President to Member	Dal Section 16  Any additional Dal Faculty regulations  King's 5.3.4

**PROMOTION**

<b>Academic Member</b>		<b>Process</b>	<b>Criteria</b>
King's Programs Faculty	15 September 15 January 28 February 31 May	Application to APT King's Unit to APT King's APT to President King's President to Member	King's Section 6, 5.6.3 and 5.6.4
Combined Honours Programs Faculty	15 September 15 January 28 February 31 March 31 May	Application to APT King's Unit to APT King's APT to President Dal Dean to President King's President to Member	King's Section 6, 5.6.3 and 5.6.4.
Joint Faculty	As set out in DFA collective agreement	Application Dal Unit Dal Faculty Dal Dean to APT King's APT to President King's President to Dean Dal President to Member	DFA Article 16  King's 6.1.1  Additional criteria may be established

## **Appendix 8: Sample letter to External Referees in cases of Tenure and Promotion**

Dear Dr./Professor XXXX

Thank you for agreeing to review Dr./Professor (*candidate's name*) file, in consideration for tenure (*and/or*) promotion to the rank of Associate/Full Professor in the (*name Program or School*) at the University of King's College.

The file includes: (*list all enclosures including*) Dr./Professor's (*name*)'s updated curriculum vitae, the application file as presented by the candidate, the University Calendar entry for the (*name Program or School*), and the relevant sections of the University of King's College Regulations Governing Tenure and Promotion which explain the process to applicants and assessors.

Of the several criteria that are relevant in tenure and/or promotion consideration, we ask that your assessment primarily focus on the candidate's scholarly and research activities (*and for Journalism, professional record and accomplishments*). In the assessment of the candidate's published work, we would request that you include a comment on the reputation of the journal or publication in which the work appears and that you comment on the quality and originality of the work presented. We also invite you to comment on any other aspects of the candidate's abilities and performance you may deem relevant, and which may fall within your ability to judge, such as curriculum design and development, or relative administrative load. It may help you to know that the University of King's College is primarily an undergraduate university that emphasizes teaching and demands an unusually high level of administrative work from its faculty, as well as demonstration of ongoing research.

The due-date for letters of assessment from external reviewers is (*date*) in order to be helpful in our deliberations. In your report, we ask you to comment on the nature of your relationship with the applicant, if any. Your report will be considered confidential. Upon request, the report will be made available to the candidate with the identifying letterhead and signature block removed.

Should you require any further information or materials, I can be reached at (*email address*) or by phone (902) 422-1271, ext. (#) or by fax at (902) 423-3357.

We appreciate your kind assistance in this matter.

## Appendix 9: SABBATICAL LEAVE CHECKLIST

This form along with all applicable documents must be submitted to the Vice President by 15 October.

SECTION 1 to be completed by the Faculty Member		
Faculty Member Name:		
Program:		
Date of last Sabbatical Leave:		
<b>Eligibility: **(see note 1)</b>	<b>Y</b>	<b>N</b>
6 Months		
1 Year		
<b>Request for: **(see note 2)</b>		
6 Months		
1 Year		
<b>Received from Faculty Member: **(see note 3)</b>		
Letter of application from Faculty Member.		
Copy of the report from the previous sabbatical leave.		
Copy of Faculty Member's CV.		
Academic plan of research & scholarly work & benefits to the Member and the University.		
Statement of research grants, anticipated external salary, or earnings or other support.		
<b>SIGNATURE OF FACULTY MEMBER:</b>		
<b>Section 2 to be completed by the Program Director(s)</b>		
<b>Recommendation from Program Director(s) which includes:</b>		
An evaluation of how the academic plan benefits the Member and the University.		
A plan to ensure that the program can continue without the Member.		
<b>Director's Signature</b> <b>Director's Recommendation</b>		
<b>SECTION 3 to be completed by the Vice-President</b>		
<b>Recommendation from the Vice-President to President:</b>		
Confirms that the academic plan benefits the Member and the University.		
Confirms program(s) can continue without the Member.		
<b>Vice-President's Signature</b> <b>Vice-President's Recommendation</b>		



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## SABBATICAL LEAVE CHECKLIST REFERENCE NOTES

### Note 1

Sabbatical leave, when granted, may be for the following periods, provided that it does not begin or end in the middle of a normal teaching term for the member:

- (i) For a full year, from July 1 to the following June 30.
- (ii) For a half year which may be from January 1 to June 30, or from July 1 to December 31.
- (iii) For a full year from January 1 to the following December 31.

### Note 2

(i) After a total of six years of service, a member with tenure may apply for one full year of leave at 85% salary or six months leave at 100% salary.

(ii) After three years of service, a member with tenure may apply for six months leave at 85% salary.

### Note 3

The Board agrees to grant Sabbatical leave to a Faculty on the recommendation of the President on the following conditions:

(i) That the leave is expected to benefit the member and the University, particularly future teaching and research as a result of the faculty member's intellectual renewal during leave and in recognition of benefit during past teaching and research (*Pink Book* 4.6.1).

(ii) That before commencement of leave, the member will submit to the Vice-President a statement outlining the program to be followed during the leave.

iii) That upon return to the University following sabbatical leave, the member will submit a report to the Vice-President regarding the program of research, scholarly, artistic, and/or professional work pursued during sabbatical leave to be placed in the member's personnel file.