

1996-1999 COLLECTIVE AGREEMENT

between

York University Faculty Association

and

York University Board of Governors

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DEFINITIONS

Academic Unit designates a Department or Division headed by a Chairperson, or, where Departments or Divisions do not occur, a Faculty headed by a Dean.

Association designates the York University Faculty Association (YUFA).

Board of Governors is the body referred to by that name and defined in The York University Act.

CAUT designates the Canadian Association of University Teachers.

Chairperson designates the Chairperson of a Department or Division, duly appointed, within a Faculty.

Dean designates the senior academic administrator, duly appointed, of a Faculty or College (including the Principal of Glendon College).

University Librarian designates the senior administrator, duly appointed, of the University Libraries.

Employee designates a member of the bargaining unit, as defined by the Certificate of the Ontario Labour Relations Board, dated 18 October 1977, as amended by the parties in Appendix A hereto.

Employer designates the Board of Governors, or its successor, or officers delegated by the Board to act on its behalf.

Faculty designates a Faculty, or a College with the status of a Faculty, created according to the statutes of the University. As of 1 December 1997 there are ten (10) Faculties at York University:

Faculty of Arts

The Joseph E. Atkinson College

Faculty of Education

Faculty of Environmental Studies

Faculty of Fine Arts

Glendon College

Faculty of Graduate Studies

Faculty of Law (Osgoode Hall Law School)

Schulich School of Business

Faculty of Pure and Applied Science

Faculty Member designates an employee appointed to York University in either the Professorial or Alternate Stream.

Immediate Family designates a spouse, sibling, parent, or child. Except where statutory provisions of Ontario or Canada stipulate otherwise, immediate family may also designate a spousal equivalent.

Spousal Equivalent shall designate an individual with whom an employee has been cohabiting for at least one year.

OCUFA designates the Ontario Confederation of University Faculty Associations.

President designates the Vice-Chancellor and chief executive officer of the University, as defined in The York University Act.

Librarian designates the professionally qualified person who has a master's degree in librarianship from an accredited university or recognized equivalent and who is appointed as a librarian in the York University Libraries.

Senate is the body referred to by that name and defined in The York University Act.

University is the body constituted as York University, as defined by The York University Act.

York University Act designates The York University Act, 1965.

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ARTICLE 1

Preamble

1.01 The parties to this Agreement acknowledge the objects and purposes of York University to be those set out in Article 4 of The York University Act, 1965: (a) the advancement of learning and the dissemination of knowledge; and (b) the intellectual, spiritual, social, moral, and physical development of

its members, and the betterment of society. They further acknowledge that the fulfilment of these objects and purposes presupposes that the University community shall strive to apply the soundest intellectual judgments and values in its practices, in the treatment of its members, and in the nurture and care of its resources. The parties accept joint responsibility to promote and pursue these objectives within a general climate of freedom and responsibility, and to encourage actions that will justify mutual respect among all members of the University community.

1.02 The purpose of this Agreement is to promote and maintain, through specific contractual provisions, harmonious relationships between the parties in accord with these objectives and to provide means acceptable to both for the settlement of such differences as may from time to time arise between them.

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ARTICLE 2

Recognition

2.01 Whereas the Association has been certified by the Ontario Labour Relations Board and The Ontario Labour Relations Act requires that a recognition clause in accordance with the certification be contained herein, the Employer recognizes the York University Faculty Association as the sole and exclusive bargaining agent of the members of the bargaining unit as defined and to the extent required by the Certificate of the O.L.R.B., dated 18 October 1977, as amended by the parties in Appendix A.

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ARTICLE 3

Non-Discrimination

3.01 The parties agree that there shall be no discrimination, interference, restriction, or coercion exercised or practised with respect to any employee in any matter by reason of race, creed, colour, age, sex, marital status, family relationship, number of dependents, nationality, ancestry, place of origin, place of residence, political or religious affiliation or beliefs, sexual preference or orientation, nonconforming personal behaviour, physical disability where the disability does not render the employee incapable of fulfilling his/her duties and obligations under this Agreement, nor by reason of membership or non-membership in the Association, nor previous or impending exclusion from the bargaining unit, nor lawful activity or lack of activity in the Association. "Non-conforming personal or social behaviour" shall not include failure to conform to the terms of this Agreement or to carry out the duties and responsibilities stipulated herein.

3.02 (a) The parties also agree, however, that no employee and no officer of the University shall take part in formal procedures, discussions, or vote with regard to the determination of the terms and conditions of

employment which apply specifically to a member of his/her immediate family.

(b) Where the Association apprehends that a conflict exists contrary to the provisions of (a), it may notify the Employer in writing. Upon receipt of such notice, the Employer shall indicate in writing within 10 days, its understanding of the situation and any measures it believes are necessary to ensure that 3.02 (a) is respected. If the Association is not satisfied with the written response, it may refer the matter to the JCOAA for further consideration.

Harassment

3.03 The parties further acknowledge that any member of the York University community who uses the authority of his/her position or role within the university to harass others, sexually or otherwise, is committing an abuse of authority that seriously impairs the "climate of freedom and responsibility" provided for in Article 1.

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ARTICLE 4

Dues Check-Off

4.01 The Employer shall, once in each month during the life of this Agreement, deduct from the salary of each member of the bargaining unit, such fees, monthly dues, or assessments as may be authorized from time to time by the Association and certified in writing to the Employer by the Association.

4.02 The Employer shall remit the amounts deducted to the Association no later than fifteen (15) days after the deductions have been made, and shall inform the Association monthly of the names and ranks of employees from whose salaries deductions have been made, and the amounts so deducted from each employee's salary.

4.03 In the event that the Association receives dues hereunder on account of an employee who is excluded from the bargaining unit, or if on account of a member of the bargaining unit, but in excess of the amount required, the Association agrees to reimburse the employee for or credit him/her with, as the case may be, the amount involved. The Association shall indemnify and save harmless the Employer against any action arising out of the wrongful deductions of money for Association dues resulting from the Association's instructions.

4.04 The Employer agrees to indicate the amount of the Association's deductions on each employee's T-4 slip.

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ARTICLE 5

Association/Employer Relations

5.01 The Employer shall not bargain with nor enter into any agreement with an employee or group of employees in the bargaining unit respecting terms and conditions of employment other than those designated by the Association, except where expressly provided for in this Agreement, or in attached Memoranda of Understanding. In order that no individual employee or group of employees shall undertake to represent the Association without the Association's proper authorization, the Association shall, immediately upon the signing of this Agreement, provide in writing to the Employer a list of the names and titles of those of its officers authorized to transact business with the Employer. The Employer shall likewise, immediately upon the signing of this Agreement, provide in writing to the Association a list of the names and titles of those of its officers authorized to transact business with the Association. Each party shall maintain the currency of its list, and each party shall be required to recognize such representatives only when written notice has been received.

5.02 The Association shall have the right at any time to call upon the assistance of representatives of the Canadian Association of University Teachers (CAUT) and the Ontario Confederation of University Faculty Associations (OCUFA) when dealing or negotiating with the Employer. Such representatives and any other duly designated representatives or counsel shall have access to the University premises to consult with employees, Association officers, or the Employer. When such representatives deal directly with the Employer, the extent of their authority shall be clearly defined and communicated to the Employer by the Association.

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ARTICLE 6

No Strikes/No Lock-Outs

6.01 There shall be no strikes or lock-outs so long as this Agreement continues to operate.

Essential Access During a Strike or Lock-out

6.02 In the event of a strike or lock-out, employees whose ongoing research requires access to University facilities in order to prevent irreparable damage to research (such as the loss of live and/or decomposable materials) shall be allowed access to the facilities usually associated with such research. Such employees shall indicate to their Deans in advance of any strike or lock-out their access requirements. Such indication to their Deans shall be given by employees in writing within ten (10) days of a notice from the Minister of Labour pursuant to Section 19 (b), The Ontario Labour Relations Act, R.S.O. 1980 Ch. 228, as amended by 1983, Ch. 42 and 1984, Ch. 34.

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ARTICLE 7

Joint Committee on the Administration of the Agreement

7.01 Recognizing the mutual benefits to be derived from joint consultation, the parties agree, within twenty-one (21) days of the signing of this Agreement, to establish a Joint Committee on the Administration of the Agreement, to comprise four (4) representatives of the Association and four (4) representatives of the Employer.

7.02 The Joint Committee shall not have the power to add to or modify in any way the terms of this Agreement, but shall function in an advisory capacity to the Association and/or the Employer with the general aim of ensuring that this Agreement is administered in a spirit of cooperation and mutual respect. The Joint Committee shall, further, direct itself to the fulfilment of any tasks explicitly assigned by this Agreement to the Joint Committee, or to joint Employer-Association committees, required to bring into effect and implement the provisions of this Agreement.

7.03 The Joint Committee shall determine its own procedures, subject to the following provisions:

- (a) The Joint Committee shall be chaired jointly by a representative of the Association and a representative of the Employer, who shall together be responsible for preparing and distributing agenda for meetings, and shall alternate in presiding over meetings.
- (b) The Joint Committee shall meet at least once every two (2) months, but may meet more often, either by mutual agreement of the chairpersons, or, on five (5) days' notice, at the call of either of the chairpersons.
- (c) A quorum for the Joint Committee shall be six (6) of its members.
- (d) The parties may, by mutual consent, expand the Joint Committee, or create subcommittees of the Joint Committee. The membership and procedures of subcommittees shall be determined by the Joint Committee, subject to the condition that at least two (2) members of each subcommittee shall be members of the Committee, and that the chairperson of a subcommittee must be chosen from among the members of the committee serving on the subcommittee.

Financial Information Subcommittee

7.04 The Joint Committee shall establish a Financial Information Subcommittee to serve as the channel for the passing of data and analyses of the financial operations of the University between the parties. The Subcommittee shall meet at least once every six weeks during the autumn/winter session and shall submit a summary report of its activities to the JCOAA once annually, between February 1 and March 31. The Association shall receive all financial information given to Senate APPC and its subcommittees.

Joint Subcommittee on Long Range Planning

7.05 The parties agree to maintain, through the agency of the Joint Committee on the Administration of the Agreement, the Joint Subcommittee on Long Range Planning, for the joint consideration of factors bearing upon the future well-being of the University and the members of the YUFA bargaining unit.

The Joint Subcommittee on Long Range Planning shall have the following terms of reference:

- (a) long range salary policy and its interrelationship with complements policy and financial prospects;
- (b) enrolment trends and their implications for financial and complements policy;
- (c) resolution of the conflicting claims of new academic programme development and reasonable security of current employees;
- d) the implications of academic planning initiatives for the bargaining unit and the professional and collegial lives of bargaining unit members.

The Subcommittee shall meet at least once every six weeks during the autumn/winter session and shall submit a summary report of its activities to the JCOAA once annually, between February 1 and March 31.

Joint Subcommittee on the Impact of Technology

7.06 The parties recognize that technological change may affect the terms and conditions of employment and professional duties and responsibilities of faculty and professional librarians. With this in mind, the parties agree to establish a Joint Subcommittee (of JCOAA) on the Impact of Technology (JSIT). The Subcommittee shall, within the principles of academic freedom as set forth in Article 10.01, address itself to any issue concerning or related to information technology and technological change in the University where there may be an impact on the terms and conditions of employment and professional responsibilities of members of the bargaining unit. The Subcommittee shall consider issues of technological change and in that context the future well-being of the University and the members of the YUFA bargaining unit.

In keeping with this mandate, the Subcommittee shall consider and make recommendations to the parties respecting the following:

- (a) University computing/information technology goals and long range planning policies and their relationship to and impact on professional responsibilities and terms and conditions of employment; enrolment trends and conflicting claims of new academic programme development, and the security of current employees;
- (b) how support services and training opportunities for faculty and professional librarians can be developed and enhanced;
- (c) how communications respecting such matters as changes in available technology, support services and training opportunities can be improved.
- (d) issues respecting pre-packaged courses and distance learning courses; their development, design and delivery and issues respecting the purchasing from outside of such work.
- (e) issues which are directly related to workload/teaching load may be referred by JSIT to the Joint Committee on Teaching Load and Class Size.

(f) policies respecting security and surveillance of electronic work activities such as e-mail accounts, Internet access, usage etc.

7.07 Within sixty days of the signing of this agreement, the Administration and the Association agree to form the Joint Subcommittee on the Impact of Technology (JSIT). The JSIT shall consist of three members chosen by the Administration and three members chosen by the Association and shall meet regularly throughout the year. Either party can call a meeting with at least seven (7) days notice.

The parties shall also invite the Senate Executive to appoint a representative from one of its standing committees on computing and information technologies to sit on JSIT and to serve as a liaison between JSIT and Senate Executive.

The Subcommittee shall once annually, between February 1 and March 31, submit a written report to JCOAA of its activities, including an appended inventory of all information transmitted between the parties.

7.08 The parties shall recommend to Senate Executive that it remind its standing committees on computing and information technologies that the policies, procedures and practices they are considering may have an impact on terms and conditions of employment and the professional duties and responsibilities of faculty and professional librarians. Such concerns should be conveyed to the Senate representative on JSIT who will bring them to the Subcommittee's attention.

At the request of the Association, the relevant representatives of the Employer will meet with the Subcommittee to outline relevant policies and actions and discuss their impact on the terms and conditions of employment.

The Employer undertakes to provide JSIT with information that is relevant to its mandate, but shall not be required to prepare reports or analyses of data not normally prepared in the course of its operations without major modifications, nor to supply information with respect to which it does not control access.

The Employer agrees to provide JSIT with \$20,000 for research and communication.

Joint Subcommittee on Benefits

7.09 The parties agree to establish a Joint Subcommittee (of JCOAA) on Benefits. The Subcommittee will address itself to establishing and maintaining communication between the parties regarding benefits and will discuss, among other matters, the form, frequency, modes of distribution and content of regular updates on claiming trends, plan details, benefits statements, a benefits magazine and ongoing issues regarding individual benefits claims. The Subcommittee will also, when necessary, discuss revising the Supplemental Benefits Program and benefits for members of the bargaining unit who have retired from the University. The Subcommittee shall meet at least once every three (3) months and shall submit a summary report of its activities to the JCOAA once annually, between February 1 and March 31.

7.10 In addition to the various joint bodies and joint meetings established under Article 7, the President of the University, with whatever senior administrative colleagues she/he chooses to designate, and the Executive Committee of the Association, shall meet together once in each of the Autumn and Winter terms, upon the request of either the President or the Association, to discuss matters of mutual interest and of concern to the University.

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8.01 The Employer agrees to provide the Association, upon written request, and within reasonable period of time, with information relevant to the operations of the University, and of the sort normally made available to the Association and/or the Senate, provided that:

(a) the Employer shall not be required to prepare reports or analyses of data not normally prepared in the course of the University's operations, or that cannot be provided by the making of minor modifications in reports normally prepared;

(b) the Employer shall not be required to supply any information which identifies a specific individual and/or which is deemed by the Employer to be confidential with respect to the Employer's formulation of its own position on interpretation or renegotiation of this Agreement or on negotiation of subsequent agreements. Notwithstanding the foregoing, the Employer undertakes in consultation with the Association to provide the Association with information relevant to the bargaining unit, including but not limited to the following:

(i) once each year, following submission to Statistics Canada of the University's report on faculty complements (usually on or about November 1), the electronic transfer as a SAS data set containing the following information for each faculty member in the bargaining unit:

--- year of first degree and last degree

--- name

--- address, contained on the payroll file

--- home department and home faculty

--- rank and stream

--- status (ie: tenured, probationary, C.L.)

--- sex and age

--- base salary and stipends

--- indicator of reduced load, sabbatical, LOAWOP, etc.

The costs of transferring this data set shall be borne by the Employer.

- (ii) once each year, a list of the names, assignments and academic session in which held, faculty and department of those teaching overload;
- (iii) the names and addresses, and other such data as the Employer has routinely been providing (such as salary, classification, stream, rank, department, term, year of pre-candidacy/candidacy) of all newly appointed members of the bargaining unit, within 30 days of the appointment;
- (iv) the Dean of the Faculty of Graduate Studies shall provide to the Association a copy of any letter from him/her to an employee with respect to appointment or reappointment to the Faculty of Graduate Studies;
- (v) once a year, as soon as possible, following June 30, the names of all individuals leaving the bargaining unit; those leaving under terms of Article 14 will be categorized according to the options set out in Article 14;
- (vi) copies of all letters of offer which result in formal appointment to be sent to YUFA at the same time as the letter of appointment;
- (vii) copies of memoranda of actions taken by the Board of Governors, as released by the Board for the information of the York University community;
- (viii) copies of the University's annual audited financial statements, following approval of these by the Board of Governors, any public reports of the York University Development Corporation, and the York Fact Book;
- (ix) copies of any statements or representations made or to be made publicly by the Employer or the University;
- (x) the Employer agrees to notify the Association, within twenty-one (21) days of the decision, of any final decision taken by the President not to recommend to the Board the candidate recommended for appointment by an academic unit under 12.19(b).

8.02 The Association agrees to provide the Employer with the following information:

- (i) copies of any mailings for the Association to either all its members or all members of the bargaining unit, to be sent to the Employer at the same time as the general mailing;
- (ii) copies of any statements or representations made or to be made publicly by the Association;
- (iii) an up-to-date copy of the constitution of the Association;
- (iv) an up-to-date list of the Executive of the Association.

8.03 The Joint Committee on the Administration of the Agreement shall periodically evaluate transfer of employee status information between the parties.

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ARTICLE 9

Grievance and Arbitration

9.01 The Employer and the Association agree to encourage the prompt and amicable resolution of complaints and the fair and expeditious resolution of grievances arising from the administration of this Agreement and from the performance of the parties and the employees under it. The parties agree to be bound by and give prompt and full effect to decisions arrived at under the procedures detailed below, except in those cases where a further stage in the procedures may be invoked.

9.02 Except as otherwise specified in this Agreement, the procedures detailed hereunder shall be the sole method for the resolution of complaints or grievances arising from the interpretation and application of this Agreement. There shall be no discrimination, harassment, or coercion of any kind practised against any person who elects to use these procedures.

9.03 The Association shall be present at all stages of the complaint and grievance process and shall have the right to represent the grievant at each and every stage if the grievant so desires.

9.04 All communications required by these grievance and arbitration procedures shall be delivered by either receipted, registered Canada Post, or University campus delivery for which signed acknowledgement of receipt has been received.

Definitions

9.05 A grievance shall be defined as any difference arising out of the interpretation, application, administration, or an alleged violation of this Agreement, which cannot be resolved informally. It is understood that disputes solely over the merits of an academic judgment are not grievable nor is the Employer's invocation of the dismissal procedure in Article 15 of this Agreement.

9.06 The categories of grievance under this Agreement are:

- (a) against the Employer by an individual employee, with the formal support of the Association;
- (b) against the Employer by a group of employees, with the formal support of the Association;
- (c) against the Employer by the Association, on behalf of an individual employee;
- (d) against the Employer by the Association, on behalf of a group of employees;
- (e) against the Employer by the Association, on its own behalf;
- (f) against the Association by the Employer;
- (g) against a group of employees by the Employer;
- (h) against an individual employee by the Employer.

9.07 (a) Complainant(s) normally shall make every reasonable attempt to utilize the Complaint Stage.

However, the following disputes may at the option of either party, or by agreement of both, proceed directly to Stage 1:

- (i) grievances as in clause 9.06 (b), at the option of the group of employees;
- (ii) grievances as in clause 9.06 (d), at the option of the Association;
- (iii) grievances as in clause 9.06 (g), at the option of the Employer;

(b) The following disputes will normally proceed directly to Stage 1, and may, at the option of the grieving party (YUFA or the Employer), proceed directly to arbitration:

- (i) grievances as in clause 9.06 (e)
- (ii) grievances as in clause 9.06 (f)
- (iii) grievances respecting the denial of tenure or continuing appointment.

9.08 The parties agree to the establishment of the following committee as an internal mechanism for dispute resolution:

(a) The Dispute Resolution Committee shall be constituted within thirty (30) days of the signing of this Agreement, and shall comprise two members appointed by the Employer, and two members appointed by the Association. The parties to the Agreement shall also select and agree on an additional two members who shall be Co-Chairpersons of the Committee. All members of the Dispute Resolution Committee shall be members of the York University community. Should a member of the Committee resign for any reason, the party designating that person shall designate a replacement within twenty-one (21) days.

The two Chairpersons, if otherwise members of the bargaining unit, shall be excluded from the bargaining unit for the period of their terms of office. The Chairpersons shall receive a reduction of a least one-third of their normal teaching loads during their terms of office.

The parties agree that a three hour block of time twice each month shall be regularly scheduled for the Committee to hear disputes. The parties agree that only members who agree to set aside a scheduled three hour block of time twice each month shall be appointed to the Dispute Resolution Committee. The cost of support staff and operating supplies for the Dispute Resolution Committee shall be borne equally by the parties.

(b) The Committee shall meet to consider all grievances presented to it. By agreement the parties may decide that a single Chairperson or a Subcommittee of three (a Chairperson and a nominee of each Party) may be a more appropriate body to mediate a dispute.

(c) The parties shall make every reasonable attempt to agree on what relevant material/documentation, if any, they are going to submit to the Committee including, subject to the provisions of Article 22, any relevant and appropriate material from a personal file.

(d) The whole Committee including the two Chairpersons shall adopt by unanimous decision of all of its members its own rules of procedure and evidence, which shall be fair and equitable and designed in accordance with Articles 1.01 and 1.02.

(e) Grievors shall have the right to be present at any hearing, to represent themselves or to be represented by the Association, or by another party of their choice or by the Employer, as appropriate. Normally the grievor, Dean/Principal/University Librarian or designate will attend the meeting of the Dispute Resolution Committee.

(f) Any of the time allowances set out in this Article may be extended by mutual agreement.

Complaint Stage

Complaints Filed Against the Employer

9.09 Any complaint may be presented and discussed informally between an employee and his/her Dean/Principal/University Librarian, or the Dean/Principal\University Librarian's designate, or the Vice-President (Academic Affairs).

A representative of the Association may represent the employee if the employee so wishes. If the complaint is resolved at this stage, the agreed resolution of the matter shall be reduced to writing by the Dean/Principal/University Librarian or designate within fourteen (14) days of the meeting at which the complaint is presented, and the complainant shall confirm in writing within seven (7) days his/her acceptance of the resolution. A copy of the agreed resolution shall be mailed to the Association.

Complaints Filed by the Employer

9.10 Any complaint may be presented and discussed informally between the Dean/Principal/University Librarian, or the Dean/Principal/University Librarian's designate, or the Vice-President (Academic Affairs), and an employee.

A representative of the Association may represent the employee if the employee so wishes. If the complaint is resolved at this stage, the agreed resolution of the matter shall be confirmed in writing by the employee within fourteen (14) days of the meeting at which the complaint is presented and the Dean/Principal/ University Librarian or designate shall confirm in writing within seven (7) days his/her acceptance of the resolution. A copy of the agreed resolution shall be mailed to the Association.

A copy of the agreed resolution shall be mailed to the Association. Whether or not the matter is resolved, the decision of the employee shall be conveyed in writing to the Dean/Principal/University Librarian or designate within fourteen (14) days of the meeting at which the complaint is presented.

Stage One

Grievances Filed Against the Employer

9.11 Subject to Article 9.07, the complainant may, within twenty-one (21) days of the date of the act or omission giving rise thereto, or of the date on which the complainant first knew or ought reasonably to have known of such act or omission, present the Dean/Principal/University Librarian or designate with a written grievance, containing a clear and concise statement of the facts surrounding the grievance, the specific Article(s) of the Agreement involved (although an incorrect or incomplete reference will not invalidate the grievance), the relief requested, and the results of the Complaint Stage or the reasons for bypassing the Complaint Stage. The Dean/Principal/University Librarian or designate shall reply in

writing within fourteen (14) days of his/her receipt of the written grievance and shall send a copy of the reply to the Association.

(a) Where, pursuant to Article 9.07, the grieving party has elected to proceed directly to Stage One it shall present the Dean/Principal/University Librarian or designate with a written grievance, containing a clear and concise statement of the facts surrounding the grievance, the specific Article(s) of this Agreement involved (although an incorrect or incomplete reference will not invalidate the grievance), or the reasons for bypassing the previous stage(s), and the relief requested.

(b) If a 9.06 (e) dispute has not been resolved at Stage One, the grieving party may proceed directly to arbitration.

Grievances Filed by the Employer

9.12 Subject to Article 9.07 the Dean/Principal/University Librarian or designate may within twenty-one (21) days of the date of the act or omission giving rise thereto, or of the date which the Employer first knew or ought reasonably to have known of such actor omission, present the employee and the Association with a written grievance, containing a clear and concise statement of the facts surrounding the grievance, the specific Article(s) of the Agreement involved (although an incorrect or incomplete reference will not invalidate the grievance), the relief requested, and the results of the Complaint Stage or the reasons for by-passing the Complaint Stage. The employee/Association shall reply in writing within fourteen (14) days of his/her receipt of the written grievance.

(a) Where, pursuant to Article 9.07, the Dean/Principal/University Librarian or designate has elected to proceed directly to Stage One s/he shall present the employee and the Association with a written grievance, containing a clear and concise statement of the facts surrounding the grievance, the specific Article(s) of this Agreement involved (although an incorrect or incomplete reference will not invalidate the grievance), the relief requested and the reasons for bypassing the Complaint Stage.

(b) If a 9.06 (f) dispute has not been resolved at Stage One, the Dean/Principal/ University Librarian may proceed directly to arbitration.

Dispute Resolution

9.13 Subject to Article 9.07, disputes which have not been resolved at the Complaint Stage or at Stage One shall be submitted to the Dispute Resolution Committee (DRC) within fourteen (14) days of the written response in Articles 9.09 or 9.11. The parties agree to inform the DRC as to the type of dispute resolution forum requested. The type of dispute resolution forum shall be either mediation or a formal deliberation but not both unless the Parties agree to use both processes.

If the parties are unable to agree on which type of dispute resolution to use the grieving party shall decide and shall inform the DRC as to the type of dispute resolution.

(a) Dispute Resolution - Mediation

The DRC shall attempt to mediate between the parties and to fashion a settlement agreeable to both. Within fourteen (14) working days of being informed of a dispute the DRC shall convene the parties to ascertain the nature of the dispute, and to discuss informally a settlement. If a settlement is not reached within fourteen (14) days of the hearing, the grieving party may proceed to arbitration as per Article 9.15.

In fashioning a settlement, the DRC shall be guided by the principles in Articles 1.01 and 1.02. The DRC may directly approach the parties (YUFA and the Employer) in any way it sees fit in order to expedite the settling of any dispute it is mediating. Settlements reached as a result of this process shall be without prejudice to the rights obligations, practices, policies and interpretations taken or advanced by either party in other past, present or future disputes or at subsequent stages of the dispute in question. Settlements reached shall be applicable solely to the particular complainant(s) and the circumstances of the subject dispute and shall not serve as the basis of any other complaint or claim filed by the complainant(s) or any other person(s).

(b) Dispute Resolution - Formal Deliberation

The DRC shall commence its deliberations within the fourteen (14) working days of being informed of a dispute. The DRC shall receive the grievance in writing, which shall contain a full and detailed statement of the facts surrounding the grievance, and shall include a copy of the written grievance submitted at Stage One, a statement of the specific Article(s) of the Agreement involved, a statement of the remedy sought, and a statement as to why the disposition of the grievance offered at Stage One is unsatisfactory. Within twenty-one days of its initial meeting on the grievance in question, the Committee shall communicate its decision, in writing, to the Employer, the Association, and the griever(s). The Committee shall give reasons for its decisions based on its interpretation of the relevant clauses of the Collective Agreement.

Stage Three

9.14 Within fourteen (14) days of receipt of the formal deliberation report of the DRC by all parties concerned, representatives of the Association shall meet with the President or his/her designate to discuss the report, and to determine its acceptance or rejection.

Stage Four: Arbitration

9.15 (a) In the event that a grievance is not resolved either at DRC - Mediation or at Stage Three, the grieving party shall, within fourteen (14) days of either the mediation meeting or the Stage Three, inform the other party of its intention to proceed to arbitration. Where, pursuant to Article 9.07, the party or parties have elected to proceed directly to arbitration or pursuant to Articles 9.11 (b) or 9.13 (b) to arbitration directly from Stage One, the grieving party shall, within twenty-one (21) days, present the other party with written notification of its election. Such notification shall contain a full and detailed statement of the facts surrounding the grievance, the specific Article(s) of this Agreement involved (although an incorrect or incomplete reference will not invalidate the grievance), and the relief requested.

(b) Within twenty-one (21) days of receipt of such notice by either party, the President or designate and a representative of the Association shall meet to establish an arbitration board, including the naming of nominees, to hear and decide upon the grievance. Normally, the arbitration board shall comprise three (3) members, one appointed by the Employer, one appointed by the Association and the third, chosen from the panel in Article 9.16 below, who shall be Chairperson of the board.

9.16 The parties hereby authorize and appoint the following persons to serve as a panel of five arbitrators on a rotating basis for the duration of this Agreement: *Paula Knopf, Gail Brent, Owen Shime, Martin Teplitsky, Pamela Picher, or others as agreed to by the parties.*

9.17 The foregoing arbitrators shall serve singly (as per Clause 9.18 below) or as Chairperson of a three person board, according to the order in which they are listed. If an arbitrator is not available within a reasonable period of time, but in any case not to exceed two months, the next arbitrator in order shall be selected, and so on until one of the arbitrators is available. For the next arbitration thereafter, the arbitrator who was listed after the arbitrator last selected shall be next in sequence of selection. By mutual consent, however, any listed arbitrator may be selected out of turn. If, in any case, none of the arbitrators is available within a reasonable time, which shall not exceed six weeks an arbitrator outside the panel shall be chosen by mutual consent. If such agreement cannot be promptly reached, an arbitrator shall be appointed by the Minister of Labour for the Province of Ontario. It is agreed, however, that any of the above names may be struck from the list during periods when no arbitrations are pending by either party on one month's notice, provided that the parties have agreed mutually upon a replacement. No person may be appointed an arbitrator who has been involved in an attempt to negotiate or settle the grievance in question.

9.18 By mutual agreement, the parties may decide that the grievance is to be decided by a single arbitrator, the arbitrator to be chosen in accordance with Clause 9.17.

9.19 In the case of three-person arbitration boards, the decision of the majority shall be the decision of the board, and where there is no majority decision, the decision of the Chairperson shall be the decision of the board. The decision of the arbitrator or the arbitration board shall be final and binding on all parties.

9.20 In the case of a three-person arbitration board, the Employer and the Association shall each bear the costs of the arbitrator appointed by it, and the parties shall share equally the costs of the Chairperson. In the case of a single arbitrator, the parties shall share equally the costs of the arbitrator.

Limits on Arbitrators

9.21 Except as specifically limited by the terms of this Agreement, the arbitrator or arbitration board shall have jurisdiction to determine grievances, including any question as to whether a matter is arbitrable. With regard to matters of appointment, tenure/continuing appointment, or promotion, disagreements concerning solely the merits of an academic judgment shall not be grieved and arbitrated.

The arbitrator or arbitration board shall have power to fashion the remedy he/she/it deems appropriate except insofar as such remedial powers are specifically limited by the terms of this Agreement. The arbitrator or arbitration board shall not have the power to change this Agreement, or to alter, modify, or amend any of its provisions. Nor shall the arbitrator or arbitration board have the power to give any decision inconsistent with the terms of this Agreement, provided he/she/it shall not be barred on the basis of a technical irregularity from hearing a grievance and rendering an award. Remedial powers of the arbitrator or arbitration board with respect to appointment, tenure/continuing appointment, or promotion shall be limited as set out in Clauses 12.19; 12.20; 12.28; 13.03,13.04, 13.08, and 13.09.

Time-Limits

9.22 The parties agree that grievant shall be expected to act in accordance with the time-limits set out in this Article, and that failure by the grievant so to act shall result in a requirement for the grievant to explain at the subsequent stage of the procedure the reasons for failure to abide by the agreed time-limits.

Failure by the non-grieving party to respond in accordance with the time-limits set out for each of the stages of the grievance procedures shall entitle the grievant to carry the grievance to the next stage. The parties shall, however, have the right by mutual agreement in writing to extend the time-limits fixed in both the grievance and arbitration procedures.

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ARTICLE 10

Academic Freedom

10.01 The parties agree to continue their practice of upholding, protecting, and promoting academic freedom as essential to the pursuit of truth and the fulfilment of the University's objectives. Academic freedom includes the freedom of an employee to examine, question, teach, and learn; to disseminate his/her opinion(s) on questions related to his/her teaching, professional activities, and research both inside and outside the classroom; to pursue without interference or reprisal, and consistent with the time constraints imposed by his/her other University duties, his/her research, creative or professional activities, and to publish and make public the results thereof; to criticize the University or society at large; and to be free from institutional censorship. Academic freedom does not require neutrality on the part of the individual, nor does it preclude commitment on the part of the individual. Rather, academic freedom makes such commitment possible.

10.02 When exercising their rights of action and expression as citizens, employees shall endeavour to ensure that their private actions or expressions are not interpreted as representing positions of York University. Any published views of the Administration concerning YUFA shall be clearly identified as representing the views of the York University Administration.

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ARTICLE 11

Professional Responsibilities

Faculty Members

11.01 A faculty member's professional obligations and responsibilities to the University shall encompass: (a) teaching; (b) research, scholarly or creative activity; (c) service to the University. While the pattern of these duties may vary between streams and may vary from individual to individual, they constitute the faculty member's principal obligation during the employment year, and include, without being restricted to, responsibilities as follows:

(a) A faculty member shall carry out his/her responsibility for teaching with all due attention to the establishment of fair and ethical dealings with students, taking care to make him/herself accessible to students for academic consultation, to inform students adequately regarding course formats, assignments, and methods of evaluation, to maintain teaching schedules in all but exceptional circumstances, to inform students adequately of any necessary cancellation and rescheduling of instruction, and to adhere to the schedules for submission of grades and evaluations by his/her Department and Faculty.

(b) A faculty member shall be entitled to and expected to devote a reasonable proportion of his/her time to research and scholarly or creative work consistent with his/her stream. He/she shall endeavour to make the results of such work accessible to the scholarly and general public through publications, lectures, and other appropriate means. Faculty members shall, in published works, indicate any reliance on the work and assistance of academic colleagues and/or students.

(c) Service to the University is performed by faculty members through participation in the decision-making councils of the University, and through sharing in the necessary administrative work of their Departments, Faculties, the University, or the Association. In performance of these collegial and administrative activities, faculty members shall objectively assess the performance of their colleagues, shall avoid discrimination, shall not infringe their colleagues' academic freedom, and shall observe appropriate principles of confidentiality.

In performance of their professional responsibilities faculty members shall deal fairly and ethically with their colleagues, students, and other members of the

University community.

Librarians

11.02 A librarian's professional obligations and responsibilities to the University shall encompass: (a) the development of his/her professional knowledge and performance in the areas of public service/collections development/ bibliographic control; (b) [i] professional development, [ii] research, scholarship; and (c) service to the University.

While the pattern of these duties may vary from individual to individual consistent with the librarian's specialities and qualifications, they constitute the librarian's principal obligation during the employment year.

(a) A librarian shall carry out his/her responsibilities with all due attention to the establishment of fair and ethical dealings with library users, colleagues/staff, students, and other members of the University community, taking care to make himself/herself accessible. A librarian shall foster a free exchange of ideas and shall not impose nor permit censorship. A librarian shall provide a high level of professional service and shall ensure the fullest possible access to library materials.

(b) A librarian shall be entitled to and expected to devote a reasonable proportion of his/her time to professional development, research and scholarship. He/she shall endeavour to make the results of such work accessible to the scholarly and general public through publications, lectures, and other appropriate means. Librarians shall, in published works, indicate any reliance on the work and assistance of academic colleagues and/or students.

(c) Service to the University is performed by librarians through participation in the decision-making

councils of the University, and through sharing in the necessary administrative work of the Libraries, the University, or the Association.

In performance of these collegial and administrative activities, Librarians shall deal fairly and ethically with their colleagues, shall objectively assess the performance of their colleagues, shall avoid discrimination, shall not infringe their colleagues' academic freedom, and shall observe appropriate principles of confidentiality and professional behaviour.

Misconduct in Academic Research

11.03.1 Misconduct in academic research is defined as:

- (a) any conscious act of fabrication or plagiarism associated with the proposing, conducting or reporting or publication of research, but does not include differences in opinion, honest error or honest differences in interpretation or assessment of data or research results;
- (b) material failure to comply with federal or provincial regulations for the protection of researchers, human subjects or the public, or for the welfare of laboratory animals, or material failure to meet other federal or provincial requirements as agreed to between the Parties to the Agreement that relate to the conduct of research;
- (c) failure to reveal to the sponsors any material conflict of interest which might be expected, on reasonable grounds, to be unknown to the sponsors and which might influence the sponsor's decisions on whether the employee should be asked to undertake reviews of research grant applications or to test products for sale or distribution to the public;
- (d) failure to reveal to the University any material financial interest in a company that contracts with the University to undertake research, particularly research involving the company's products, or to provide research related materials or services. Material financial interest means ownership, substantial stock holding, a directorship, significant honoraria or consulting fees but does not include minor stock holding in publicly traded corporations.

11.03.2 (a) An allegation of misconduct in academic research shall be in writing, and directed to the President. The President may refer the allegations to a designate. Within 10 days of the receipt of the allegation(s), the President or designate shall notify, in writing and with a copy of the allegation, the individual(s) named in the allegation.

The President or his/her designate shall make reasonable and confidential enquiries to determine whether the allegation(s) have sufficient substance to warrant investigation. The enquiries shall be completed within thirty (30) days of the receipt of the allegation(s). The parties to the Agreement recognize that although time is of the essence there may be exceptional circumstances whereby the enquiries cannot be completed within the thirty (30) days. Therefore, the parties to the Agreement agree that in exceptional circumstances the thirty (30) day limit may be extended for one further period not to exceed fifteen (15) days.

(b) If, in the opinion of the President or his/her designate, the allegation(s) do not have sufficient substance to warrant investigation, the allegation(s) shall be dismissed and no action taken. The Employer shall remove all documentation from the individual's file as per Article 22, and shall not use the documentation for any employment related purpose affecting the employee against whom the allegations

were made.

(c) If, in the opinion of the President or his/her designate, the allegation(s) have sufficient substance to warrant investigation, the President or his/her designate shall inform the employee named in the allegation(s), in writing and with a copy to the Association. The written notice shall include a copy of the signed allegation(s), shall inform the employee of his/her right to be represented by the Association, and shall advise the employee of his/her right to contact the Association before responding to the allegation(s).

11.03.3 (a) Within 30 days after the employee named in the allegation(s) has received the written notice, the President or his/her designate shall convene a committee of three (3) individuals to assist in the investigation of the allegation(s). Two members of this committee shall be academics working in the same discipline as the employee named in the allegation(s). No more than two members of this committee shall be from the same Faculty as the employee named in the allegation(s).

(b) The committee shall investigate the allegation(s) promptly, fairly, and judiciously. The employee named in the allegation(s) shall have adequate opportunity to know all evidence presented, the right to address the committee on the matters before it, and the right to be represented by a person of his/her choice. During the course of the investigation, an authorized representative of the Association shall have the right to be present at any meeting involving the employee named in the allegation(s).

The committee shall complete its investigation and report to the President within one hundred (100) days of its having been initially convened. The parties to the Agreement recognize that although time is of the essence there may be exceptional circumstances whereby the investigation and report cannot be completed within the one hundred (100) days. Therefore, the parties to the Agreement agree that the one hundred (100) day time limit may be extended only by mutual agreement between the parties.

(c) During the course of the investigation all reasonable steps shall be taken to keep the matter confidential.

(d) After receiving the committee's report, the President or his/her designate shall make a determination within twenty-one (21) days as to whether the allegation(s) of misconduct in academic research have been sustained. The parties to the Agreement recognize that although time is of the essence there may be exceptional circumstances whereby the President or his/her designate cannot make his/her determination within twenty-one (21) days. Therefore the parties to the Agreement agree that the twenty-one (21) day limit may be extended for one further period not to exceed seven (7) days.

11.03.4 (a) If the determination is that the misconduct in academic research constitutes adequate cause for dismissal, as set out in Article 15, the President shall expeditiously initiate the procedures of Article 15.

(b) Any other discipline imposed on an employee for misconduct in academic research shall be subject to Article 9 (Grievance and Arbitration). A statement from the Employer that an individual is guilty of misconduct in academic research without any other sanction constitutes discipline and may be grieved/arbitrated.

(c) If the determination is that misconduct in academic research has not taken place, the allegation(s) shall be dismissed and the individual shall be so notified in writing with a copy to the Association. The Employer shall remove all documentation for the individual's file as per Article 22 and shall not use the

documentation for any employment related purpose affecting the employee against whom the allegations were made.

11.03.5 (a) The Employer agrees to take such steps as may be both necessary and reasonable to protect the reputation and credibility of persons wrongfully accused of misconduct in academic research. The Employer agrees to take such steps as may be both necessary and reasonable to protect the rights of members of the bargaining unit who make allegations in good faith or who are called as witnesses before the investigation committee or in arbitration proceedings.

(b) Allegations of scholarly misconduct in academic research which are reckless, malicious, or made in bad faith may be the cause of disciplinary action.

(c) Where an allegation of misconduct in academic research has been made in relation to research funded by an external agency, the Employer agrees to protect the identities of the respondent and the complainant. Where the external agency requests information from the Employer, the Employer shall only confirm, in writing, whether an investigation is being conducted or not. A copy of this written statement shall be provided to the respondent and the complainant, by the Employer, at the time of writing. Subject to (d), the Employer shall not inform the external agency of any part of the substance of the allegations until dismissal proceedings or grievance/arbitration proceedings, if any, have been completed. The text of the Employer's written statement to the external agency shall be as specified in Appendix J.

(d) Where an allegation of misconduct in academic research has been made in relation to research funded by an external agency:

(i) if a finding of misconduct in academic research is sustained after dismissal proceedings or grievance/arbitration proceedings have been completed, the Employer shall inform the agency concerned of the decision.

(ii) if the allegation(s) is dismissed at any stage, the Employer shall at the sole discretion of the employee named in the allegation(s) send the external agency a copy of the decision of the University or the Arbitration.

11.03.6 The parties agree that a subcommittee of the Joint Committee on the Administration of the Agreement investigate and make recommendations to the Joint Committee on the Administration of the Agreement concerning scholarly misconduct and private/public contracts.

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ARTICLE 12

Appointments Categories

Faculty Appointments

12.01 Appointments to the full-time faculty of York University shall fall into one of two (2) streams:

(a) Professorial,

(b) Alternate,

each of which contains three (3) classifications:

(i) tenured,

(ii) probationary,

(iii) contractually limited.

Ranks

12.02 Rank titles in the Professorial Stream shall be: Lecturer, Assistant Professor, Associate Professor, and Professor. In the Alternate Streams established in the Faculty of Pure and Applied Science, the Department of Languages, Literatures and Linguistics and the Department of French Studies in the Faculty of Arts, Physical Education in the Faculty of Arts, and the French Language Training Programme at Glendon College, rank titles shall be: Assistant Lecturer, (Charg d'enseignement); Associate Lecturer, (Charg de cours); and Senior Lecturer, (Maitre de cours). The Employer agrees that such appointments will not be made to Alternate Streams other than those noted above, except by agreement of the parties.

Librarian Appointments

12.03 Librarians appointed at York University shall be assigned the rank of:

(a) Assistant Librarian,

(b) Associate Librarian,

(c) Senior Librarian,

and shall fall into one of three (3) classifications:

(i) continuing appointment,

(ii) probationary,

(iii) contractually limited.

Contractually limited appointments shall be designated Adjunct Librarians.

Appointment Classifications

12.04 Tenured/continuing appointments are defined as appointments without term, which may be terminated only through resignation, retirement, dismissal for cause (as set out in Article 15), or lay-off for reason of financial necessity (as set out in Article 24).

12.05 Probationary appointments are defined as appointments lasting up to a maximum of six (6) years, during which time the University and the employee are afforded an opportunity for mutual appraisal. Probationary appointments end in a tenured/continuing appointment or in termination of the appointment.

12.06 Contractually limited appointments are appointments which carry no implication of renewal or continuation beyond the stated term and no implication that the appointee shall be considered for tenure. Contractually limited appointments are utilized:

(a) to bring distinguished visitors to the University;

(b) to provide replacements for employees on leave;

(c) to respond to specific teaching/professional/research/creative needs which the Employer, for academic and/or budgetary reasons, does not wish to result in an appointment in the probationary or tenured/continuing appointment classifications;

(d) to appoint individuals with specialized skills for whom neither the Employer nor the individual intends a long-term association with the University. The Employer agrees to provide the Association with a statement of the "specific needs" to be responded to by appointees under 12.06(c), such information to be conveyed at or about the time of the making of the appointment. In the event of re-appointment of an employee under this clause, the employee shall, at the time of the offer of re-appointment, be informed as to the nature of the position being offered, including, to the extent practicable, a job description covering the intended period of the appointment.

12.07 Titles utilized in contractually limited faculty appointments are as follows:

Special	Professor
	Associate Professor
	Assistant Professor
Sessional	Lecturer
	Instructor
	Senior Lecturer
Visiting	Associate Lecturer
	Assistant Lecturer

The term of a contractually limited faculty appointment will normally be:

(a) an academic session (i.e., less than calendar year). The minimum length of such an appointment for the Autumn/Winter session shall be nine (9) months. The minimum length of such an appointment for the Autumn or Winter session only shall be five (5) months. Employees appointed under this category for terms of nine (9) months or more in 1996-97, in 1997-98 and/or in 1998-99 shall be eligible for salary increments under clauses 25.02 and 25.04.

(b) one year,

(c) two (2) years,

(d) three (3) years,

Only in exceptional circumstances related to 12.06 (c) or 12.06 (d) will an individual receive contractually limited appointments for a period longer than three (3) consecutive years.

In the case of appointments under 12.06 (c), at the time of the appointment which will take the individual beyond the normal three-year limit, the exceptional circumstances shall be set out in memoranda to the Association and the individual. Such circumstances shall normally relate to short-term needs for continuing viability of the academic programme in question, coupled with uncertainty as to the longer-term future of the programme. Contractually limited appointments made initially on or after July 1, 1978 and under this category (i.e., 12.06(c)) shall not be continued for a total of more than five (5) years.

12.08 The parties agree to establish within thirty (30) days of the ratification of this Agreement a joint subcommittee of the JCOAA comprising three representatives of the Association and three representatives of the Employer, for the purpose of creating a redrafted version of Article 12 of the 1989-91 Collective Agreement to be recommended to the parties. The subcommittee shall particularly address the following issues:

(a) Producing an acceptable reorganization and, where possible, redraft of the language of Article 12 to improve its clarity;

(b) Identifying the kinds of contractually limited appointments that are classified under Items (a) (b) (c) and (d) of Clause 12.06;

(c) Identifying areas of ambiguity in the current language and/or redraft which require the parties to resolve disagreements regarding their intention and meaning.

The subcommittee shall report to the parties by no later than three (3) months prior to the expiry of this Agreement.

12.09 The title used for contractually limited professional librarians shall be Adjunct librarian. The term of a contractually limited librarian appointment shall normally be for a specified period of up to one (1) year. Exceptions shall be restricted to:

(a) appointments under 12.06 (d);

(b) appointments under 12.06 (c) where the circumstances of the appointment relate to the continuing viability of special projects of a finite nature or the fulfilment of externally funded contracts or grants.

In the case of appointments under (b), the Employer shall inform the employee and the Association, in writing, at the time of the appointment which will take the employee beyond the one (1) year limit, of the relevant circumstances requiring an appointment beyond the one (1) year limit.

12.10 Contractually limited appointments are not intended to serve as an alternate form of "probation" for a longer term appointment at York University, and shall therefore be governed by Clause 12.13, below, respecting movement among categories.

12.11 The Employer shall annually provide to the Association, through the Joint Committee on the

Administration of the Agreement, a list of contractually limited employees, indicating date of appointment, anticipated date of termination, reasons for classification as contractually limited, as per Clause 12.06 (a)-(d), above, and the special circumstances associated with any contractually limited faculty appointments of more than three (3) years' duration, or with any contractually limited librarian appointments of more than one (1) year's duration.

12.12 The total of the salary rates of that component of the bargaining unit holding contractually limited appointments shall not exceed 11.5% of the total of the salary rates of the bargaining unit as a whole.

Movement among Categories from Contractually Limited to Probationary/Tenured/Continuing Appointment

12.13 Should an employee holding a contractually limited appointment wish to apply for a position in the tenured/continuing appointment or probationary classification, his/her application shall be considered in the normal way along with all other applications for the position. Should such employee be appointed to the probationary or tenured/continuing appointment position, years of service toward sabbatical leave or consideration for tenure/continuing appointment shall be awarded on a year-for-year basis, to a maximum of four (4) years of such credit.

Between Alternate Stream and Professorial Stream, and between Faculty and Professional Librarian Positions

12.14 Normally, employees shall not transfer their appointments from one stream to another, or between faculty and professional librarian positions. Should an employee who applies be appointed to the position, he/she shall retain his/her years of service for purposes of Article 20 and his/her seniority for purposes of Article 24.

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Appointments Selection

12.15 All York University appointments are made by the Board of Governors, which may make appointments only on the recommendation of the President, except in the case of appointment of the President.

Criteria and Procedures

12.16 The principal criterion for appointment to positions at York University is academic and professional excellence as generally understood in University practice and as embodied in principles which form part of this Agreement. Where appropriate, advertisements shall include the rank at which it is expected the appointment will be made. Whenever possible, specific qualifications for any particular position for which applications are invited shall be clearly identified.

The Employer agrees that when negotiating conditions for externally funded Chaired Professorships and other such positions to which new and current faculty may be appointed, it will ensure that, so far as is practicable, the terms negotiated with the funding body shall conform to the provisions of Article 12 of this Agreement.

Advertising Requirements

12.17 The availability of positions to which it is proposed to appoint probationary or tenured faculty, or probationary or continuing appointment librarians, shall normally be widely advertised prior to the selection of a candidate for appointment.

(a) This requirement shall also apply to positions to which it is proposed to appoint Contractually Limited faculty/professional librarians, other than in exceptional circumstances, in cases of renewal/extension of an employee's appointment, or where shortage of time makes it impracticable to carry out the normal advertising.

The Employer agrees to provide the Association and the Canadian Union of Public Employees 3903 with copies of all notifications of the availability of full-time faculty positions, and to post such notifications on bulletin boards in the relevant academic units of the University, concurrent with the submission of such notifications to external advertising media. Recruitment procedures shall be so designed as to ensure that reasonable care is taken to seek out, and give all due consideration to, qualified female, Canadian and permanent residents of Canada candidates. Advertising shall be carried out with this requirement in mind, and shall therefore be placed particularly in relevant Canadian publications, including *University Affairs* and the *CAUT Bulletin*.

(b) Waiving of Advertising and Search Procedures

In the event that the establishment of a tenure stream position is approved and meets the criteria set out below, the hiring unit may recommend to the Dean, without advertising the position, the individual referred to in (iv) below. The criteria are as follows:

- (i) the position earlier was advertised as a probationary/tenured position;
- (ii) the search was conducted as for a probationary/tenured position;
- (iii) a candidate was recommended for the probationary/tenured position;
- (iv) prior to the making of the final appointment, the position was changed to a CLA for budgetary reasons and the recommended candidate accepted the CLA.

12.18 Recognizing the importance of care and thoroughness in the process of selection of candidates for appointment as probationary or tenured faculty, the Employer agrees to make available, as early as possible, the financial data determining whether or not candidates may be sought for faculty positions. Every effort shall be made to supply financial data sufficiently early for the selection procedures of the unit in question to be implemented.

When fiscal data are available too late to permit timely appointment decisions to be made in accordance with normal appointment procedures, selection procedures shall normally be implemented with a view to making the appointment in the subsequent year, if the appointment is to be in the probationary or tenured classification.

Collegial Procedures/Faculty

12.19 All recommendations for appointment of faculty members are made in writing to the President by the Dean/Principal. The Dean/Principal shall, at the same time as s/he informs the President, provide a Notice of Recommendation to the Chair of the department, or in Faculties/Colleges where there are no departments, to the chair of the appointments committee, and to the Association. The parties to the Agreement acknowledge the importance of collegial assessment in the process of evaluating candidates for appointment to the full-time faculty.

(a) Where practicable, Chairpersons and Deans/Principals shall utilize the unit's collegial procedures in making contractually limited appointments.

(b) The evaluation and recommendation of candidates for full-time probationary or tenured appointments shall be carried out in the first instance in the academic unit(s) in question, in all but exceptional circumstances as indicated in 12.19(c), using procedures that ensure fair consideration to all candidates. Allegations of violation of procedural requirements may be grieved and arbitrated. Where such procedures have been formally established by an academic unit(s), or are hereafter amended or established by the mutual agreement of the parties to the Agreement, these shall be adhered to in all but exceptional circumstances as indicated in 12.19(c). If an appointment is to be made which entails appointment to more than one unit, the procedures to be utilized shall be determined and set out in advance prior to the commencement of appointment procedures.

In exceptional cases, a Dean/Principal may wish to recommend to the President an appointment at a rank other than the one specified in the recommendation received from the academic unit(s) in question. The Dean/Principal shall normally consult with the chair(s) of the academic unit(s) [or in Faculties where there are no departments, the Dean/Principal shall consult with chair(s) of the appointment committee], and confirm his/her intentions in writing to the chair(s) and to the Association prior to recommending the appointment. The Dean's/Principal's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the Dean's/Principal's assessment of exceptionality was justified.

(c) (i) In the exceptional circumstances in which a Dean/Principal declines to recommend to the President for appointment to a position the individual recommended for appointment by the academic unit(s), the Dean/ Principal shall within three (3) weeks, indicate in writing to the academic unit(s) in question and the Association the reasons why the Dean/Principal declined to recommend the unit(s)'s choice. The Dean's/ Principal's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the Dean's/Principal's assessment of the circumstances as exceptional was justified. The parties agree that the failure by an academic unit to produce or implement affirmative action plan(s) as outlined in Article 12.23 may be classified as "exceptional circumstances," for the purposes of this clause.

(ii) In exceptional circumstances, a Dean/Principal may alter established procedures. In such cases the Dean/Principal shall indicate in writing to the academic unit(s) and the Association the exceptional circumstances occasioning the departure from established practice. The Dean's/Principal's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the Dean's/Principal's assessment of the circumstances as exceptional was justified.

(d) The parties to the Agreement agree to process such grievances dealing with exceptional circumstances, as outlined in (b), (c)(i) and (c)(ii), as expeditiously as possible. If a grievance is initiated under (c)(i) and /or (c)(ii), by the academic unit(s), the Employer undertakes not to make an appointment to the position unless the grievance has been resolved in favour of the Dean's/Principal's position.

(e) In determining grievances on matters of appointments, the arbitrator or arbitration board shall have the powers set out in Clause 9.24, except that he/she/it shall not have the power to remove an incumbent, to direct the appointment of a specific individual, or to alter the rank at which an appointment has been recommended or made.

(f) These procedures and arbitral jurisdiction do not apply to cases of appointment to the faculty of individuals simultaneously being appointed to positions outside the bargaining unit (e.g., Deans).

Collegial Procedures/Librarians

12.20 All recommendations for appointment of professional librarians are made in writing to the President by the University Librarian. The University Librarian shall, at the same time as s/he informs the President, provide a Notice of Recommendation to the chair of the appointments committee and to the Association. The parties acknowledge the importance of collegial assessment in the process of evaluating candidates for appointment as librarians.

(a) Where practicable, the University Librarian shall utilize the unit's collegial procedures in making contractually limited appointments.

(b) The evaluation and recommendation of candidates for probationary and continuing appointments in the bargaining unit shall be carried out by appointments committees using, except as indicated in 12.20(c), established procedures that ensure fair consideration of all candidates. Such established procedures, except as they may hereafter be amended by mutual agreement of the parties to the Agreement, shall be adhered to in all but exceptional cases as indicated in 12.20(c). Allegations of violation of procedural requirements may be grieved and arbitrated.

In exceptional cases, the University Librarian may wish to recommend to the President an appointment at a rank other than the one specified in the recommendation received from the appointment committee. The University Librarian shall normally consult with the chair of the appointments committee and confirm his/her intentions in writing to the chair and the Association prior to recommending the appointment. The University Librarian's decision shall be subject to the grievance and arbitration procedures established by this Agreement for the purposes of determining whether the University Librarian's assessment of the circumstances as exceptional was justified.

(c) (i) In the exceptional circumstances in which the University Librarian declines to recommend to the President for appointment to a position the individual recommended for appointment by the appointment committee, the University Librarian shall within three (3) weeks, indicate in writing to the unit, the chair of the appointment committee, and the Association the reasons why he/she declined to recommend the appointment committee's choice. The University Librarian's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the University Librarian's assessment of the circumstances as exceptional was justified.

The parties agree that the failure by an unit to produce or implement affirmative action plans as outlined in Article 12.23 may be classified as "exceptional circumstances," for the purposes of this clause.

(ii) In exceptional circumstances, the University Librarian may alter established procedures. In such cases the University Librarian shall indicate in writing to the unit, the chair of the appointment committee, and the Association the exceptional circumstances occasioning the departure from established practice. The

University Librarian's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the University Librarian's assessment of the circumstances as exceptional was justified.

(d) The parties to the Agreement agree to process such grievances dealing with exceptional circumstances, as outlined in (b), (c)(i) and (c)(ii), as expeditiously as possible. If a grievance is initiated under (c)(i) and/or (c)(ii), by the unit(s) the Employer undertakes not to make an appointment to the position unless the grievance has been resolved in favour of the University Librarian's position.

(e) In determining grievances on matters of appointments, the arbitrator or arbitration board shall have the powers set out in Clause 9.24, except that he/she/it shall not have the power to remove an incumbent, to direct the appointment of a specific individual, or to alter the rank at which an appointment has been recommended or made.

(f) These procedures and arbitral jurisdiction do not apply to cases of appointment as professional librarians of individuals simultaneously being appointed to positions outside the bargaining unit (e.g., University Librarian).

Affirmative Action

12.21 Consistent with the principle expressed in Article 12.16 that the principal criterion for appointment to positions at York University is academic and professional excellence,

(a) when candidates' qualifications are substantially equal, and meet the criteria established for the appointment in question, the candidate who is Canadian or a permanent resident of Canada shall be recommended for appointment;

(b) in units where fewer than 35% of the tenure stream positions are filled by women, when candidates' qualifications are substantially equal and meet the criteria established for the appointment in question, the candidate who is a Canadian or a permanent resident of Canada and female shall be recommended for appointment. It is understood that no candidate shall be recommended who does not meet the criteria for the appointment in question.

(c) In units where fewer than 35% of the tenure stream positions are filled by women and there are no qualified candidates who are Canadian or permanent residents of Canada, of the candidates whose qualifications do meet the criteria established for the appointment and are substantially equal, the female shall be recommended for appointment.

To determine whether 35% of the tenure stream positions are filled by women, jointly appointed faculty are counted in conformity with the fraction of their appointment in each unit. Seconded faculty are counted only in their home unit.

12.22 (a) In order to ensure that academic units conform to the requirements for selecting women candidates set out in Clause 12.21 (b) and (c), and further, to ensure that units actively seek out and give fair consideration in their selection processes to female candidates, the parties agree to continue a Joint Implementation Committee on Affirmative Action for Women Faculty and Librarians. This Committee will approve academic unit affirmative action plans and ensure that policies already established are implemented.

(b) The Joint Affirmative Action Committee shall comprise three members appointed by each of the Administration and the Association within 30 days of the signing of the Collective Agreement. The Special Assistant to the President (Equity) shall sit ex-officio on the Committee.

(c) The Employer agrees to provide funds for professional, administrative and programme support, such funds not to exceed the equivalent of four full course directorships at the prevailing CUPE 3903 rate in each year.

(d) Professional support may be provided by an Affirmative Action Director to be selected by the Committee and appointed by the Employer.

12.23 Academic unit(s) wishing to make a full-time appointment(s) shall be required

to prepare a plan showing its willingness and ability to conform to procedures guaranteeing affirmative action for women, and to demonstrate that it has followed those procedures in its search and selection process.

(a) Academic unit(s) must have Affirmative Action Plans approved by the Committee. Each unit shall name an Affirmative Action representative. Representatives must be tenured and may be a member of the unit or from outside the unit. Affirmative Action representatives may be men or women.

(b) All recommendations to make full-time faculty appointments shall be submitted to the Committee which is empowered to recommend to the President that such an appointment not be made when a unit's plan or the procedures that it followed did not meet the Committee's standards for affirmative action.

(c) The Committee shall deal expeditiously with units' plans and recommendations for appointment.

12.24 A sub-committee of the Joint Committee on the Administration of Agreement, including the Special Assistant to the President (Equity) and representation from the Joint Committee on the Affirmative Action for Women Faculty and Librarians shall be established to conduct a study of the affirmative action files/data for the past three (3) years. The study shall review and make recommendations on, but not be limited to, the following:

* salaries offered to male and female appointees with comparison to their real starting salaries, in order to ensure no systemic discrimination against women;

* units which have had difficulty (in view of the Affirmative Action Committee) getting women either to apply or to accept offers of appointment; to ascertain whether something more might be done to improve both the pool of women applicants and the number of acceptances by women;

* unit files to determine what effect, if any, "rank open" advertising has on the gender pool of candidates;

* each appointment ad and the candidate selected to determine if the ad was an accurate description (both in rank and area) of the appointment recommended;

* bargaining units' rank profiles of women to make recommendations concerning the establishment of mechanisms that will help ensure the representative distribution of women at all ranks across the University, with specific reference to full professor rank;

* mechanisms for "job-sharing" between qualified spouses/spousal equivalents;

* whether "demonstrably superior" as a test for when a male candidate maybe hired by a unit with fewer than 35% faculty would improve implementation of the Affirmative Action programme.

12.25 The Sub-committee in 12.24 will, within one (1) year of the ratification of the 1992-93 Collective Agreement, design, and report to the Joint Committee on the Administration of the Agreement, a programme of Employment Equity for the designated groups as per the Federal Contractors' Program. The parties agree to implement a programme of Employment Equity in a manner consistent with the affirmative action obligations to female faculty within one (1) year of ratification of the 1992-93 Agreement.

12.26 Affirmative action plans and search/selection procedures shall be subject to the requirements of Articles 12.17, 12.19, 12.20, and 12.21 of this Agreement.

Appointments Review Procedures

12.27 The Employer agrees to provide the Joint Committee on the Administration of the Agreement with information on the making of tenured/probationary/ continuing appointments, the nature of the information to be decided by the Joint Committee.

Appointment of Academic-Administrators

and Librarian-Administrators

12.28 The parties acknowledge the importance of collegial participation in the selection of individuals for appointment to academic-administrative and librarian-administrative positions.

(a) (i) Employees shall be appointed to administrative positions within the bargaining unit by the Board of Governors only upon the recommendation of the President. Where a unit has established fair and equitable procedures for the appointment of a Chairperson or where such procedures shall hereafter be amended or established by mutual agreement of the parties, these shall be adhered to in all but exceptional cases as indicated in 12.28(a) (ii). Allegations of violation of procedural requirements may be grieved and arbitrated. In exceptional cases, a Dean/Principal/University Librarian may decline to recommend to the President for appointment the individual recommended for appointment by the unit. In such cases, the Dean/Principal/University Librarian shall indicate in writing to the unit the exceptional circumstances occasioning the departure from established practice.

The Dean's/Principal's/University Librarian's decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether the Dean's/Principal's/University Librarian's assessment of the circumstances as exceptional was justified.

(ii) In exceptional circumstances, a Dean/Principal/University Librarian may alter established procedures. In such cases the Dean/Principal/ University Librarian shall indicate in writing to the unit the exceptional circumstances occasioning the departure from established practice. If the unit does not accept the Dean's/Principal's/University Librarian's reasons for a departure from established practice, it may, if it does so within three (3) weeks of the date of receipt of the Dean's/Principal's/University Librarian's statement, refer the matter to the grievance and arbitration procedure, for the purpose of determining whether the Dean's/Principal's/University Librarian's assessment of the circumstances as exceptional is

justified. The parties agree to process such grievances as expeditiously as possible, and the Employer undertakes not to make an appointment under the altered procedures until the grievance has been resolved and unless the grievance is resolved in favour of the Dean's/Principal's/University Librarian's position.

(iii) In determining grievances on matters of appointments as set out above, the arbitrator or arbitration board shall have the powers set out in clause 9.21, except that he/she/it shall not have the power to remove an incumbent or to direct the appointment of a specific individual.

(b) Unless otherwise agreed to between the President and the Faculty Council of the Faculty in question, candidates for appointment as Deans or Principals shall be recommended to the President by search committees established by and advisory to the President, a majority of the members of which have been elected by the Faculty Council, and a majority of the members of which are full-time faculty members. In the case of reappointments the President shall consult with the Faculty or College concerned prior to making his/her recommendations to the Board of Governors.

(c) Unless otherwise agreed to between the President and the Professional Librarians of York University, candidates for appointment as University Librarian shall be recommended to the President by a search committee established by and advisory to the President, a majority of the members of which have been elected by the Professional Librarians of York University and a majority of the members of which are Professional Librarians. In the case of a reappointment the President shall consult with the Libraries prior to making his/her recommendation to the Board of Governors.

Letters of Appointment

12.29 The letter of offer of appointment from the Dean/University Librarian or designate to the prospective appointee shall set out the nature of the position being offered, including, to the degree possible, a job description covering the initial year of employment, and, where applicable, any special requirements that may be applied in determining the future movement of the appointee from pre-candidacy to candidacy and his/her application for tenure/continuing appointment or promotion (such as the completion of a degree or research in progress). Letters of offer shall stipulate whether or not the initial salary offer includes or specifically excludes any additional increments already negotiated or yet to be negotiated between the Association and the Employer, according to the appropriate version of text specified in Appendix H. The letter of offer shall enclose a copy of, and refer to, this Agreement. Letters of appointment from the Board of Governors shall specify the stream, classification, rank, duration (where applicable), and initial salary of the appointment.

Notice of Non-Renewal/Renewal

12.30 Deans shall send letters of reappointment, termination, or non-renewal:

(a) to probationary faculty in the pre-candidacy period, by no later than November 1;

(b) to contractually limited faculty other than those holding appointments of less than one (1) calendar year, by no later than February 1;

(c) to contractually limited faculty holding appointments of less than one calendar year, by no later than twelve (12) weeks prior to the expiry of the appointment. Such notices shall be effective the following June 30 or on the expiry of the appointment, whichever date is the earlier. Failure to observe the

deadlines in (a) or (b) above shall automatically entitle the appointee to an additional year of appointment.

12.31 Probationary librarian appointees in the pre-candidacy period shall be delivered letters of reappointment or termination from the University Librarian by no later than eight (8) months preceding the anniversary date. Contractually limited librarian appointees with appointments of one (1) year or more shall be delivered letters of reappointment or termination from the University Librarian by no later than four (4) months preceding the anniversary date. Failure to observe these deadlines shall automatically entitle the appointee to an additional year of appointment.

Affirmative Action for Long-Term CUPE 3903

Contract Faculty (Conversions)

12.32 (a) New full-time faculty who have prior service at the University as part-time faculty shall be awarded credit toward sabbatical leave entitlement at a rate of one (1) year of credit for each block of three Type 1 appointments (as defined by Article 11 of the CUPE 3903, Unit 2 Collective Agreement) to a maximum of one (1) such block per year and to a maximum credit of six (6) years.

(b) Where a probationary/tenured position is approved, appointment to which is limited to members of part-time faculty, the hiring unit may waive the advertising and selection procedures set forth in Article 12. The provisions respecting Affirmative Action for women faculty as set forth in Article 12.21 do not apply to the Affirmative Action Programme for long-term, high-intensity part-time faculty established under the CUPE 3903, Unit 2 Collective Agreement.

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ARTICLE 13

Tenure and Promotion

Tenure and Promotion of Faculty Members

13.01 The parties agree that promotion of probationary and tenured faculty members from one rank to another, and the award of tenure to faculty members, shall be by action of the Board of Governors, only upon recommendation of the President. The President shall, in making his/her recommendations, act in conformity with existing practices with respect to criteria and procedures for promotion and tenure, in so far as they relate to terms and conditions of employment. It is agreed that the existing practices are those as set out in the Report of the Senate Committee on Tenure and Promotions as of November 29, 1976 and the following amendments or related documents:

(1) the Alternate Stream document of December 15, 1977;

(2) the amalgamation of the Senate Committee on Academic Dismissal and the Tenure and Promotions Appeals Committee into the Senate Tenure Appeals Committee (May 24, 1979) and excluding that

Appendix to the Senate Committee's Report which deals with Procedures for the Dismissal of Tenured Faculty Members (pp 27-29).

(3) (i) the increase in membership of the Senate Committee on Tenure and Promotions to twelve (12) members, and,

(ii) for the consideration of files for tenure/promotion and promotion, the full Committee will be divided into two panels of six (6) members each, one panel to consider tenure/promotion files, the other to consider files for promotion to senior ranks (November 25, 1992).

Amendments to these criteria and procedures shall require the approval of both parties.

The documents referenced above are included in this Agreement in their entirety as Attachment 1.

13.02 The parties agree that the renewal or non-renewal of the appointments of faculty members in the pre-candidacy phase of a probationary appointment, and their advancement to the candidacy phase, shall be by action of the Board of Governors, only upon recommendation of the President. The President shall, in making his/her recommendations, act in conformity with existing practices with respect to criteria and procedures for these decisions, in so far as they relate to terms and conditions of employment. It is agreed that the existing practices are those set out in the Report of the Senate Committee on Tenure and Promotions as of November 29, 1976 (Attachment 1) and the following amendments or related documents:

(1) the Alternate Stream document of December 15, 1977;

(2) the amalgamation of the Senate Committee on Academic Dismissal and the Tenure and Promotion Appeals Committee into the Senate Tenure Appeals Committee (May 24, 1979) and excluding that Appendix to the Senate Committees' Report which deals with Procedures for the Dismissal of Tenured Faculty Members (pp 27-29). (N.B. see section C 1(a) of the Report).

Amendments to these criteria and procedures shall require the approval of both parties.

The documents referenced above are included in this Agreement in their entirety Attachment 1

Applicability of the Grievance and Arbitration Procedures

13.03 The recommendation of the President to the Board of Governors or his/her decision not to make a recommendation to the Board of Governors in respect of clauses 13.01 and 13.02 above shall be subject to the grievance and arbitration procedures set out in Article 9 of this Agreement. Such grievances shall be limited to:

(a) allegations of irregularity or defect, of a nature sufficiently serious to justify quashing the decision, in the application of the procedures established in clauses 13.01 and 13.02;

(b) allegations of violation of academic freedom (as defined in Article 10) or of discrimination (as defined in Article 3).

An arbitrator or arbitration board shall be limited in his/her/its jurisdiction to the matters set out in (a) and (b) of this clause, and shall be without power to reverse the President's decision or recommendation or to award tenure or promotion, but may quash the President's decision or recommendation on the grounds set out in (a) or (b). In such cases, time-limits established by existing practices for the processing or recommendations shall be appropriately amended.

13.04 Any alteration of procedures in a particular case necessitated by an arbitrator's decision to quash a decision on grounds of discrimination or violation of academic freedom shall be subject to approval by the parties.

13.05 Articles 13.01 - 13.04, 13.08, 13.09, and Article 9 shall be subject as necessary to the decisions of the interest arbitrator in the interest arbitration established under Article 13.05 of the 1979-81 Collective Agreement.

Continuing Appointment and Promotion of Professional Librarians

13.06 The criteria and procedures for continuing appointment and promotion of professional librarians and renewal or non-renewal of the appointments of professional librarians in the pre-candidacy phase of a probationary appointment and their appointment to the candidacy phase shall be applied as outlined in "Criteria and Procedures for Continuing Appointment or Promotion of Professional Librarians" of September 25, 1978. Amendments to these criteria and procedures shall require approval of both parties.

The document referenced above are included in this Agreement in there entirety as Attachment 2..

13.07 Promotion of librarians from one rank to another and the award of continuing appointment and the renewal or non-renewal of appointment, shall be by action of the Board of Governors, only upon the recommendation of the President. The President shall act upon the recommendation of the University Librarian and both shall act in conformity with Article 13.06.

13.08 The recommendation of the President to the Board of Governors or his/her decision not to make a recommendation to the Board of Governors in respect of clauses 13.06 and 13.07 above, shall be subject to the grievance and arbitration procedures set out in Article 9 of this Agreement. Such grievances shall be limited to:

(a) allegations of irregularity or defect, of a nature sufficiently serious to justify quashing the decision, in the application of the procedures established in clauses 13.06 and 13.07;

(b) allegations of violation of academic freedom (as defined in Article 10) or of discrimination (as defined in Article 3).

An arbitrator or arbitration board shall be limited in his/her/its jurisdiction to the matters set out in (a) and (b) of this clause, and shall be without power to reverse the President's decision or recommendation or to award tenure or promotion, but may quash the President's decision or recommendation on the grounds set out in (a) or (b). In such cases, time limits established by existing practices for the processing or recommendations shall be appropriately amended.

13.09 Any alteration of procedures in a particular case necessitated by an arbitrator's decision to quash a decision on grounds of discrimination or violation of academic freedom shall be subject to approval by the parties.

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The Clauses of Article 14, which govern the retirement of full-time faculty and professional librarian employees, are premised on the principle that the timing of an individual's retirement from full-time responsibilities at the University, and the assumption of any part-time responsibilities following retirement from full-time duties, shall in the normal case be influenced primarily by the wishes of the individual.

General Conditions and Definitions

14.01 (a) "Retirement" means the termination of an individual's full-time status at York University at any time after that individual would, if a member of the York Pension Plan, be eligible to receive a pension from the York Pension Plan (i.e., anytime after attainment of age 55). Continuation in a part-time capacity, or as "professor emeritus" or "librarian emeritus" or "senior scholar" is not inconsistent with the use of the term "retirement".

(b) Normal retirement date shall be July 1 coincident with or next following an employee's 65th birthday.

Employees who will have low projected pensions at normal retirement date would be entitled to retain their full-time faculty position following their normal retirement date until the July 1 in the calendar year in which receipt of pension is mandatory under Revenue Canada regulations, as follows:

Those whose projected aggregate pensions from registered pension plans at their normal retirement date is less than or equal to \$40,000 per annum would be entitled to move to irrevocable reduced-load status.

The reduction in workload as elected by the employee, and corresponding salary rate reduction must be at least one-third of normal load, and can be no greater than two-thirds of normal load and normal salary.

During this period of irrevocable reduced-load, employees will receive a salary which corresponds to their actual workload but, provided that employees continue to make their contributions to the York Pension Plan on the basis of this reduced salary, the Employer will not only continue to make its pension contributions to the Plan on the basis of the employee's full academic base salary rate, but will also "pay up" the employee's share of contributions on the basis of his/her full academic base salary rate, subject to Revenue Canada regulations. The Employer will also continue to pay 100% of the premium on the University Group Life Insurance policy on the basis of the employee's full academic base salary rate. To maintain full Long Term Disability coverage, the employee must continue to pay premiums on the basis of his/her full academic base salary rate.

Employees who continue on a reduced-load status past their normal retirement date shall not continue to

accrue sabbatical credits, nor are they eligible to take a sabbatical.

Employees who continue on a reduced-load status past their normal retirement date, but who retire after the first year will be offered the opportunity to teach or fulfill professional librarian responsibilities on a part-time basis, pro-rated, as per 14.02.

This reduced-load option is not available to persons who at normal retirement date would have a total projected pension income from all employment-related sources (excluding CPP and RRSP) equivalent to or greater than \$40,000 per annum.

(c) Employees shall be eligible to retire from the University and (assuming that they have been members of the York Pension Plan) shall be eligible to receive a York Pension, at any time following attainment of age 55.

(d) In exceptional circumstances, an employee may continue in the service of the University after his/her normal retirement date on the basis of his/her distinguished contributions to research and teaching at the University, and on the basis of exceptional program need. Such continuation shall be subject to renewal on a year to year basis, without any obligation on the University to renew.

(e) The parties agree to establish a joint committee to study pension plan and retirement provisions to look at all aspects, including possible pension improvements, improving the minimum guarantee, full benefits for same-sex spouses, credit for years of service, and portability.

14.02 Following attainment of age 55, and subject to Article 14.11, an employee who does not elect to continue full-time, may elect one of the following options:

Revocable Reduced-Load Status

(a) Workload reduction (with an equivalent teaching load reduction) and corresponding salary rate reduction of up to one-half of normal load and normal salary, with Employer and employee contributions to Pension and salary based benefits to be at 100% of nominal base salary rate.

An employee on such "revocable reduced-load" may, upon giving of nine (9) months' notice, return to full-load status. After three (3) consecutive years on "revocable reduced-load", the employee must return to full-load status, or move to "irrevocable reduced-load". An employee may elect "revocable reduced-load" more than once, provided that the cumulative total of such leaves does not exceed six (6) years.

Irrevocable Reduced-Load Status

(b) Workload reduction (with an equivalent *teaching load* reduction) and corresponding salary rate reduction of up to two-thirds of normal load and normal salary, with the Employer contribution to Pension and salary based benefits to be at 100% of nominal base salary rate, and the Employer to contribute also the amount required to bring the employee's contributions up to 100% of full nominal rate.

Retirement from the University

(c) All employees who retire from the University shall be accorded the status of "continuing members of

the University" pursuant to Article 14.08 and shall be entitled to all the benefits associated with that status.

Retirement shall normally be followed by assumption of any of the following options:

(i) No regular paid or unpaid responsibilities; such irregular non teaching academic or service responsibilities as may be agreed between the "continuing member of the University" and the Employer;

(ii) A part-time teaching or professional librarian appointment (with associated scholarship responsibilities);

(iii) Designation as a "Senior Scholar".

(d) Employees who retire from the University at or before their normal retirement date and who are eligible for option (c) (ii) above, shall be offered the following opportunities:

(i) Faculty shall be offered the opportunity to teach eight (8) full courses to a maximum of two (2) courses per year on a part-time basis. This offer shall, in any year, be contingent upon sufficient enrollment in the assigned course. When an appointment which has been offered in writing is cancelled for reasons of insufficient enrollment in the course in question, and no reasonable and equivalent alternative position is found for the employee, he/she shall receive one-eighth of the salary for the position as severance pay.

Employees with this right shall provide their academic unit with nine (9) months' notice preceding the date of commencement of teaching of their intention to teach or not teach in each year until their entitlement is exhausted. For the Fall teaching in the academic year 1997/98, employees shall provide notice no later than June 15, 1997. For the Fall teaching in the 1998/99 academic year, employees shall provide notice no later than April 17, 1998.

Faculty members offered appointment on a part-time basis following retirement shall be offered four (4) full courses at the salary rate of one-fifth of the salary floor for Full Professor per full course equivalent (\$13,104 for 1997/98) and four (4) courses at the current salary rate for a CUPE 3903 course director (\$10,603 for 1997/98).

Faculty members who continue past their normal retirement under 14.01 (b), or under the Transitional Retirement Provisions (14.12) below, but who retire after their first year will be offered the opportunity to teach on a part-time basis, according to the following schedule:

Age of retirement	Total number of part-time appts	Total number of appointments at 1/5 salary floor of Full Professor
66	7	4
67	6	3
68	5	3
69	4	2

(ii) Professional librarians shall be offered the opportunity to fulfill professional librarian responsibilities on a part-time basis following retirement for up to four (4) one-third time appointments at the salary rate of one-fifth of the salary floor for Senior Librarian and four (4) one-third time appointments at the current rate for a part-time librarian to a maximum of two (2) per year.

Professional librarians who continue past their normal retirement under 14.01 (b), or under the Transitional Retirement Provisions (14.12) below, but who retire after their first year will be offered the opportunity to fulfill professional librarian responsibilities on a part-time basis, according to the following schedule:

Age of retirement	Total number of part-time appts	Total number of appointments at 1/5 Senior Librarian salary floor
66	7	4
67	6	3
68	5	3
69	4	2

Notwithstanding the above, a maximum will be applied to any retired employee's payments for part-time employment at York, such that the total remuneration for part-time employment PLUS the York Pension Plan payments for which he/she is eligible shall not exceed the full-time salary which would have been paid had he/she continued employment on a full-time basis.

Such employees shall, notwithstanding their formal status as part-time employees of the University, be permitted to use the title which they held at the time of their retirement.

Employees in this category will be considered to be in the YUFA bargaining unit.

Eligibility

14.03 To be eligible for options (a), (b), (c)(ii), and (c)(iii), as defined in Article 14.02 (above), an employee shall hold tenured/continuing appointment status and have normally held his/her appointment at York for at least five years of active service (i.e., including sabbatical, but not LOAWOP), prior to the commencement of the selected option, or normal retirement date, whichever date occurs first.

Senior Scholars/Professor Emeritus

14.04 Employees who retire from the University shall carry the "emeritus" title appropriate to their rank, and may by notification to the Dean and Associate Vice-President (Research) elect designation also as "Senior Scholar". In addition to entitlement of "continuing members of the University", "Senior Scholars" shall be entitled to:

- (a) use of an office on a dedicated or shared basis, depending upon availability;
- (b) access to secretarial services;
- (c) laboratory/studio space, subject to availability;
- (d) computer time, subject to availability;
- (e) a Professional Expenses Allowance at the same rate as active employees for reimbursement of expenses incurred in pursuing professional scholarship, until and including the sixth year after normal retirement date.

The entitlement in (a)-(d) shall be annually reviewable by the Dean and Associate Vice-President with respect to their availability. The parties agree to investigate, through the JCOAA, the most appropriate means of establishing what priority "Senior Scholars" shall have, in comparison with others in the University, for the allocation of facilities which are to be provided subject to availability.

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Special Conditions

Sabbaticals

14.05 (a) (i) Employees taking their last sabbatical leave within the last five (5) years before their normal retirement date as defined in the York Pension Plan and choosing to take that sabbatical leave for one (1) full year, shall be entitled to receive Pension Plan contributions by the Employer based on their full academic base salary, rather than their actual sabbatical salary, if they elect to make their own Pension contributions on the basis of the full academic base salary. When contributions are made on the basis of the full academic base salary rate, that salary shall be used in the Pension Plan's computation of the individual's average of five (5) highest years of earnings.

(ii) For employees who retire on or after August 1, 1996, there will be no entitlement to payments in respect of accrued sabbatical credits.

(iii) An employee who will have accumulated three (3) to five (5) years of credit towards a sabbatical leave as of his/her normal retirement date will be entitled to take a six-month sabbatical at 80% of his/her academic base salary or one (1) course-release at 100% academic base salary, in the academic year immediately preceding his/her normal retirement date.

An employee who will have accumulated six (6) or more years of credit towards a sabbatical leave as of his/her normal retirement date will be entitled to take a one (1) year sabbatical at 80% of his/her academic base salary, in the academic year immediately preceding his/her normal retirement date.

Eligibility for Salary Increments

(b) An employee who continues on full-time or full-time/reduced-load basis past normal retirement date shall be eligible for general adjustment increments to his/her annual salary, as negotiated by YUFA, and for any merit increments, but shall not be eligible for Career Progress Increments.

Long-Term Sick Leave

(c) Where an employee, having reached or exceeded normal retirement date, requests sick leave for longer than one month, the Employer shall grant sick leave at the appropriate level of salary and benefits for a period of up to twenty (20) weeks from the beginning of his/her absence or until the University's Long Term Salary Continuance Programme (LTSCP) comes into effect, whichever occurs sooner.

In granting Long-Term Sick Leave, the Employer may require medical verification of the nature and expected duration of the illness. In exceptional cases, the Employer may, at its expense, require a second opinion from a mutually acceptable practitioner.

If upon the expiration of the twenty week (20) sick leave period an employee is not deemed eligible for benefits under LTSCP and is unable to resume all of his/her duties and responsibilities, as verified by satisfactory medical certification, he/she shall retire or be granted a Leave of Absence Without Pay for up to one (1) year. Such an employee may be granted an extension of the Leave of Absence Without Pay upon request and the provision of satisfactory medical certification as to the nature and expected duration of the illness/disability.

Should such an employee wish to return to active service, the Employer may require medical verification of the employee's fitness to resume all the duties and responsibilities expected of the employee and may at its expense require a second opinion from a mutually acceptable practitioner.

Implications for Long-Term Disability Insurance

(d) The Employer agrees to extend LTSCP coverage for employees continuing full-time or full-time reduced load past normal retirement date until he/she reaches the age at which receipt of pension payments becomes mandatory.

Lay-off

(e) Employees who continue on a full-time, or a full-time reduced-load basis, past normal retirement date, shall be treated as contractually limited employees holding one (1) year contractually limited appointments, for the purposes of lay-offs under Article 24 of this Collective Agreement, unless the Employer and the employee have entered into a specific agreement for a contractually limited appointment of a duration other than one (1) year, in which case the terms of the specific agreement shall apply.

Retirement Planning Centre

14.06 The parties agree to establish the budget for the Retirement Planning Centre at \$97,383 including salary and benefits, and that the Association will contribute ten (10) percent of the Centre's budget in 1992/93, in order to fund the activities of the Retirement Planning Centre for University employees. The Centre shall be administered by an advisory board consisting of representatives from the Employer and various employee groups. Concerning the advisory board, the parties agree:

(i) that the Association shall have the right to name at least two representatives;

(ii) that the Association shall have representation at least equal to that of the Employer;

(iii) that at least 50% of the membership of the advisory board shall be representatives of unionized employee groups; and

(iv) at least one (1) appointee of the Association and one (1) appointee of the Employer shall be York retirees or employees within five (5) years of achieving normal retirement date.

The services of the Centre shall include, but not be limited to, pension and financial consultation, the provision of bibliographic materials, information and advice on retirement options, and programmes on retirement planning.

Any funds not expended from the monies available to the Centre in a given year shall be carried forward to the subsequent year and made available for the purposes of the Centre.

14.07 The Employer agrees to provide funds sufficient to ensure that employees eligible to retire will have made available to them, through the Retirement Consultation Centre, individual financial counselling, to a maximum cumulative expense of \$850 per employee.

Continuing Members

14.08 (a) Subsequent to their retirement from full-time status, former employees shall be designated as "continuing members of York University" and of their respective Faculties (Libraries), and shall be accorded continuation of:

--- faculty library privileges

--- University affiliation for external research grant application purposes.

(b) "Continuing members" of the University, as defined above, shall be eligible for:

(i) Free athletic memberships;

(ii) Limited extended health care and dental plan coverage (Appendix F).

The Employer agrees to continue the YUFA retirees' benefits coverage on the current (1996/97) basis for the term of the Collective Agreement, provided that the total available funding for the program, including the Employer's annual contribution of \$66,000 and the premiums paid by retirees, is sufficient to cover the costs of the program.

The parties shall continue to monitor the available balance of the retirees' benefits program funding against expenditures charged to it. The Employer shall provide the Association with regular cost projections. Should such projections establish that expenditures will significantly exceed the available funding, the Joint Subcommittee on Benefits will meet to discuss how the retirees' benefits program can be adjusted to keep the expenditures within the funds available. The parties reserve the right to reduce the coverage to a level consistent with the funding available for the program. Any significant amendments to the coverage shall be announced to retired employees no later than four (4) months prior to its implementation.

(c) Where a child of a faculty member was dependent (as defined in Article 26.11) at the time of the faculty member's retirement, that child is eligible for tuition waiver at the domestic tuition rate provided that the child commences and continues in a degree programme at York University prior to attaining twenty-one (21) years of age.

The spouse of a faculty member (as defined in Article 26.11) at the time of that faculty member's retirement is eligible for tuition waiver (at the domestic tuition rate) unless the marriage is dissolved and the spouse remarries or becomes the common-law spouse of another.

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Phased in and Early Retirement Options

14.09 (a) Definitions: "Voluntary separation" is defined as the resignation of an employee prior to his/her normal retirement date, in return for a severance payment by the Employer to the employee.

"Severance payment" may include, but is not restricted to, a monetary payment, leaves of absence on a paid and/or unpaid basis, medical and pension benefit arrangements.

(b) The Employer undertakes to make known to Association bargaining unit members that voluntary separation agreements may be entered into provided the Employer and the employee reach agreement as to the terms of such a voluntary separation. Further, the Employer agrees to consider, with an individual employee, the possibilities for voluntary separation of that employee from his/her employment at York University. Subject to paragraph (c), below, it is understood that the Employer and the employee each have the discretion to refuse to agree to any particular voluntary separation agreement proposal.

(c) An employee with tenure/continuing appointment who retires from the University between the age of X(X = 60, 61 ... 65) and normal retirement date shall receive as financial assistance in his/her retirement from the University an amount equal to:

$$\begin{aligned} & \text{The average academic base salary rate} \\ & \text{for bargaining unit members of age X in his/her stream} \\ & \text{in the academic year immediately preceding retirement,} \\ & \text{TIMES} \\ & \text{the number of years remaining from time of retirement to} \\ & \text{normal retirement date,} \\ & \text{DIVIDED BY 5.} \end{aligned}$$

To be eligible for such payment, the employee must:

- (i) hold a tenured/continuing appointment;
- (ii) have active service at York University, including sabbatical but not LOAWOP, of at least twice the number of years remaining from the time of retirement to normal retirement date, to a maximum of eight (8) such years.

These sums shall be paid to the employee in whatever form the employee designates and is acceptable under the regulations of Revenue Canada. Financial counselling will be available to the employee, pursuant to Article 14.07.

14.10 An employee's Dean/Principal/University Librarian and the Vice-President (Academic Affairs) may, in exceptional circumstances:

(a) require the retirement of an employee who has continued past normal retirement date, or indicated an intention to do so, in full-time or reduced load capacity;

(b) deny the intention of an employee to serve or continue to serve in apart-time capacity following retirement. In such case, the Dean/Principal/University Librarian and Vice-President (Academic Affairs), shall advise the employee in writing of their intention to require his/her:

(i) retirement from the University;

(ii) termination/non-commencement of part-time responsibilities on the following July 1. The written notice, to include reasons for the decision, shall be provided to the employee by the November 30 next preceding the proposed July 1 effective date.

The reasons shall relate to the employee's inability or failure to perform his/her professional responsibilities as defined in Article 11.

For the purposes of this Article, inability or failure to perform these responsibilities shall mean a level of performance significantly below the average level of senior faculty in the employee's unit or comparable units. The decision of the Dean/University Librarian and the Vice-President shall be subject to the grievance and arbitration process established by this Agreement.

14.11 The parties agree that the Vice-President (Academic Affairs) and the Associate Vice-President (Research) will work in concert along with one YUFA representative to provide funding to promote the research and scholarly activities of Senior Scholars through the Office of Research Administration.

Transitional Retirement Provisions

14.12 (a) Normal Retirement Date:

As a transitional provision, those who are age 65 and older as of July 1, 1997 are entitled to retain their full-time faculty position until July 1, 1998, and will receive a salary equal to their 1997/98 academic base salary.

As a transitional provision, those who are age 65 and older as of July 1, 1997, will be offered the opportunity to teach on a part-time basis, pro-rated, as per 14.02.

(b) Sabbaticals:

As a transitional provision, those individuals who have accumulated six (6) years of credit and who would otherwise be required to retire on July 1, 1998 are entitled to take a six-month sabbatical at 100% salary and retire in December 1998. Individuals with 3-5 years of sabbatical credit and who would be required to retire on July 1, 1998 will be entitled to take a six-month sabbatical at 50% salary and retire in December 1998.

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Early Retirement - VERA

14.13 (a) For 1996-97 and 1997-98, a Voluntary Early Retirement Adjustment (VERA) is to be established with the following features:

(i) The VERA will be available to those age 55 and older.

(ii) The VERA would provide a bridge payment to those who retire. This bridge supplements their pension up to age 65, at which time the bridge payment goes to zero.

(iii) The amount of the bridge would be equal to 1% of salary for each year of service up to ten years, reduced by 10/12 % for each month the commencement of the bridge preceded age 60.

For faculty eligible for an Article 14 early retirement allowance, the VERA - bridge payment is in addition to the retirement allowance.

Window 1 will be open to those who are 55 and older as of September 1, 1997, and who declare their intent to retire on or before August 1, 1997.

Window 2 will be open to those who are 55 and older as of July 1, 1998, and who declare their intent to retire on or before that date.

(b) In addition to the VERA window, the early retirement allowance available under 14.09 (c) for those age 60 will be extended, as follows:

Window 1: for faculty and professional librarians who are age 58 and 59 on or before July 1, 1997.

Window 2: for faculty and professional librarians who are age 58 and 59 on or before July 1, 1998.

This allowance will be ADDED to any VERA.

After first providing for the Pension Contribution Holiday proposed in 1997/98 and 1998/99, the VERA is contingent on the approval of the pension plan trustees.

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ARTICLE 15

Dismissal For Cause

Definitions

15.01 "Dismissal" means the termination of an appointment by the Employer without the consent of the employee, before the end of the appointment period, and shall be only for adequate cause. Neither the non-renewal of a contractually limited appointment or a probationary appointment, nor the decision not to grant tenure/continuing appointment, nor lay-off for reason of financial necessity, nor the termination

of an appointment for the purpose of retirement, constitutes dismissal.

15.02 "Adequate cause" for dismissal shall be predicated upon misdeeds that are grave and unusual and that directly render an employee unfit to discharge his or her professional responsibilities as defined by this Agreement. Such misdeeds shall not include conduct properly characterized as the exercise of freedom of speech, association, or belief, or non-conforming personal or social behaviour.

"Non-conforming personal or social behaviour" shall not include failure to conform to the terms of this Agreement or to carry out the duties and responsibilities stipulated herein.

15.03 Adequate cause constituting unfitness shall include and be limited to:

(a) failure to discharge professional responsibilities as defined by this Agreement either through (i) incompetence, or (ii) persistent neglect, including persistent neglect of duty to students or scholarly/professional pursuits;

(b) gross misconduct leading to the significant and persistent abridgement of the academic freedom of other members of the University community;

(c) gross professional misconduct;

(d) gross misconduct constituting a direct and grave violation of the personal safety of another member or members of the University community.

15.04 Physical or emotional inability to carry out reasonable duties shall be treated separately from dismissal cases. A person so afflicted shall be granted a leave in some form, not normally to exceed four (4) years, at the end of which period the Employer may terminate the appointment if the employee does not return to his/her normal duties.

Procedures

15.05 The President shall initiate dismissal procedures by notifying the employee in writing to meet with him/her in the presence of the Dean of the employee's Faculty or the University Librarian and the employee's Chairperson (where applicable), no earlier than seven (7) days and no later than fourteen (14) days after such notification. Such notification shall include precise reference to all the pertinent information in this Agreement and in any other documents of the University relevant to charges germane to dismissal for cause. In this and in all further proceedings, the affected employee shall be permitted to be accompanied by an adviser of his/her choice. The Association shall also have the right to be present at such meetings and shall be given reasonable notice. An attempt shall be made at this initial meeting to resolve the matter in a manner satisfactory to all concerned.

15.06 If the employee fails to appear at the meeting provided for in clause 15.05, or if no satisfactory resolution is reached at the meeting, and if the President chooses to pursue the matter, the President shall inform the employee in writing of the charges against him/her, by internal receipted mail or by external registered mail with acknowledgement of receipt, no later than twenty-one (21) days after the meeting, insufficient detail to allow the employee to prepare his/her defence.

Failure of the President to inform the employee of the charges against him/her within the designated time period shall result in the termination of the dismissal proceedings. If proceedings are terminated at this or subsequent stages of the procedures, the Employer shall not reinstitute dismissal proceedings based upon

the same specific misdeeds and circumstances.

15.07 If the employee wishes to contest his/her dismissal, he/she shall so indicate to the President in writing within fourteen (14) days of the receipt of the written charges. Failure of the employee to resign or to contest his/her dismissal within the designated time-period shall result in the application of the special arbitration procedures provide for in clause 15.10 below.

15.08 Within fourteen (14) days after the employee has indicated in writing a wish to contest his/her dismissal, the President or his/her designate and the employee or his/her designate shall meet to name jointly an arbitration board comprising three (3) persons from outside York University, whose expenses shall be shared by the parties to this Agreement.

15.09 In the event that the President or designate and the employee or designate cannot agree upon the membership of the arbitration board, they shall each name one person to the board, and the two (2) persons so named shall select a third, who shall be the chairperson of the board. All three (3) persons shall be from outside York University. Each of the members of the board shall be provided with a copy of this procedure upon appointment to the board.

15.10 In the event that an employee fails to comply with or take part in the provisions established in clauses 15.08 and 15.09, the arbitration board shall consist of a single arbitrator appointed from the arbitrators' panel according to the procedures established for the selection of single arbitrators or chairpersons of arbitrations boards, as provide for in Article 9.

15.11 Having written to the employee informing him/her of the charges, the President may, by written notice for stated cause, relieve the employee of some or all of his/her University duties until the arbitration board has made its decision or until such earlier time as the President may deem appropriate. The stated cause must involve an immediate threat to the academic functioning of the University or to any member of the University. Salary and benefits shall continue throughout the period of such suspension.

15.12 The arbitration board shall convene as promptly as possible following its constitution, and shall attempt to conclude its proceedings and render its decision as expeditiously as possible. Subject to the provisions of The Ontario Labour Relations Act, the arbitration board shall have the right to establish its own procedures, and to require each party to make full disclosure of material facts and documents which the board deems relevant. In any event, the board shall:

- (a) hold open hearings;
- (b) notify the President or designate, the employee, and the Association of the time and place at which it intends to hold its hearings;
- (c) afford the President or designate and the employee the right to appear in person, with or without counsel or other adviser(s);
- (d) require the employee and the President or designate each to indicate the nature of the allegations they intend to make, in order to enable the other a fair opportunity to make a full answer.

15.13 The board shall issue a written decision which contains its findings of fact, reasons, and conclusions as to whether there is adequacy of cause, and shall provide a copy to the employee, to the Association,

and to the Employer, any of whom is at liberty to make the decision public. The decision of the board shall be final and binding on the employee and the Employer. In its award, the board shall declare:

(a) that cause adequate for dismissal has not been shown and that any suspension in effect be rescinded, and it may rule that no record of such suspension show in the employee's personal files; or

(b) that cause adequate for dismissal has been shown.

15.14 In the event that the board finds cause adequate for dismissal, and in the event that the board makes some ruling concerning the employee's salary and pension, the board shall not rule continuation of the employee's salary and the Employer's contributions to his/her pension beyond a maximum of one (1) year from the date of the board's decision. The board may make any additional recommendations that it deems just and equitable in the circumstances.

15.15 The Employer and the employee shall be responsible for the expenses of the member appointed to the arbitration board by the President or designate and the employee or designate, respectively. The Employer and the Association shall share equally the expenses of the chairperson of the board.

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ARTICLE 16

Discipline

16.01 Discipline of employees by the Employer shall be only for just cause.

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ARTICLE 17

Existing Practices

17.01 Subject to the provisions of this Agreement, the Employer undertakes to continue recognized existing practices with respect to terms and conditions of employment. The Employer may, however, with due notice and on reasonable grounds expressed in writing (with a copy to the Association where practicable), amend or discontinue such practices. The Employer's decision to do so shall be subject to the grievance and arbitration procedures established by this Agreement for the purpose of determining whether such amendment was justified.

The parties agree that the following procedures constitute notification of changes to existing practices:

- (a) In the matters covered by specific articles in the Collective Agreement (e.g., clause 18.09, Appendix A(B)(1), changes in existing practices would be effected in accordance with the provisions of that specific article.
- (b) In matters not specifically covered by the Collective Agreement and affecting all, or potentially all, employees, changes in existing practices would be effected through written notification from the Office of the Vice-President (Academic Affairs) to YUFA through the YUFA Co-Chairperson, JCOAA. It is agreed that this paragraph refers to such matters as parking fees, athletic fees and library regulations.
- (c) In matters of a Faculty-wide nature, changes in existing practices, including policies, would be effected through written notification from the Dean or Associate Dean to the Office of the Vice-President (Academic Affairs) and then to YUFA through the YUFA Co-Chairperson, JCOAA. It is agreed that the grievance "time clock" in Article 17.01, would run only from the written notification of the change from the Office of the Vice-President (Academic Affairs) to YUFA through the YUFA Co-Chairperson, JCOAA.
- (d) It is further agreed that changes in existing practices at a Department level would be without prejudice to changes or lack of changes in existing practices in other Departments within a Faculty and would be effected through written notification from the Dean or Associate Dean to the Office of the Vice-President (Academic Affairs) and then to YUFA through the YUFA Co-Chairperson, JCOAA.
- (e) (i) In matters not specifically covered by the Collective Agreement where changes in existing practices with respect to computing and information technology would have a significant impact on terms and conditions of employment and/or the professional responsibilities of all, or potentially all employees, changes in existing practices would be effected through written notification as per 17.01 (b) above;
- (ii) In matters of a Faculty-wide nature where technological change would have significant impact on terms and conditions of employment and/or professional responsibilities, changes in existing practices would be effected through written notification as per 17.01 (c) above.
- (iii) After receiving notification of a change in existing practices with respect to computing and information technology, JCOAA may refer the matter to the Joint Subcommittee on the Impact of Technology which shall normally have one month to discuss the proposed change(s) and to attempt to resolve any differences between the parties before the grievance time-clock starts to run.

Grievance Time Clock

The parties agree that after the notification stipulated in clause 17.01 has taken place there will be an opportunity for JCOAA to discuss the proposed changes and attempt to resolve any differences between the parties before the grievance time-clock starts to run. This period of discussion preceding the start of the grievance time-table can be ended by either party through formal written notification to the other that the grievance "time clock " will now start to run. The administration will not begin to implement any changes in existing practices until after this notification concerning the grievance time clock has been given.

University Governance

17.02 The parties acknowledge the existing rights, privileges, and responsibilities of employees to participate in the formulation and/or recommendation of policy within the University.

Board of Governors and President

17.03 The Association recognizes the rights, powers, and responsibilities of the Board of Governors to manage the University, as those rights, powers and responsibilities are set out in The York University Act, 1965, Sections 10, 13, 14, 16, 17, 18, 19, 20, 21, 22, 23, in respect of the powers of the President and the Board of Governors, provided that these powers shall be exercised in accordance with the provisions of this Agreement.

Senate

17.04 The parties agree that the provisions of this Agreement shall not operate so as to infringe the powers of Senate, as set out in The York University Act, 1965, Section 12, to which all members of the University are subject. It is further agreed that if any clause of this Agreement is found to infringe the powers of Senate as so set out, that clause will be null.

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ARTICLE 18

Terms and Conditions of Employment

Length of the Employment Year

18.01 The employment year shall normally be from 1 July to the subsequent 30 June, and shall include eleven (11) months of professional obligations and responsibilities to the University (as defined in Article 11) and one (1) month's vacation, payment for which is included in the annual salary. Employees with appointments of less than twelve (12) months shall receive a portion of one (1) month's salary pro-rated according to the fraction which their appointments are of twelve (12) months.

Holidays

18.02 Employees are entitled to the following holidays: Canada Day; Civic Holiday; Labour Day; Thanksgiving Day; the day before Christmas, Christmas Day, Boxing Day, New Year's Day; Good Friday, Victoria Day; and any other day proclaimed as a holiday by the University or as a statutory holiday by federal or provincial authorities, and:

in 1996/97, December 27, 30 & 31, 1996

in 1997/98, December 29, 30, 31, 1997

January 2, 1998

in 1998/99, December 28, 1998 (for Boxing Day) December 29, 30 & 31, 1998

Payment of Salaries

18.03 Salaries and administrative stipends are paid to employees in twelve (12) equal instalments, by payment to their bank, credit union, or trust account on the 25th day of each month. When the 25th falls on a Sunday or a Monday holiday, payment is made on the following day. When the 25th falls on a Saturday or a Friday holiday, payment is made on the previous day.

Outside Professional Activities

18.04 The nature of the professional competence of many employees affords opportunities for the exercise of that competence outside the employee's University duties, on both remunerative and non-remunerative bases. Recognizing that such outside professional activities can bring benefits to and enhance the reputation of the University and the capacities of employees, the Employer agrees that employees have the right to engage in part-time outside activities paid or unpaid, including participation in their Professional Associations and/or Learned Societies, provided that such activities do not interfere with their obligations, duties, and responsibilities to the University, and subject to the following conditions:

(a) Employees shall, upon request, make available to their Dean/Principal/ University Librarian or designate information on the scope of outside activities of a substantial or continuing nature. Employees holding full-time positions outside the University shall report to the Dean/Principal/University Librarian the fact and nature of such positions whether or not a request for such information is made by the Dean/Principal/University Librarian.

When the time commitment to outside activities is such as to interfere with fulfilment of his/her teaching, research/scholarly/creative activities/service to the University, at a reasonable standard, the individual shall reduce such activities appropriately, or seek a reduced load or leave without pay, or resign.

(b) When an employee's outside activities involve the use of University facilities, supplies, or services, permission for the use of such facilities, supplies, or services, and agreement on appropriate reimbursement therefore shall be obtained in advance by the employee from his/her Dean/Principal/University Librarian or designate. Costs in excess of the agreed reimbursement shall be borne by the employee on the request of the Employer.

Travel While on University Business

18.05 The Employer will reimburse its employees the same as administrative staff for actual out-of-pocket travel expenses which are reasonable and appropriate to the type of University business to which they are related. Expenses will be reimbursed for University business for which specific prior authorization has been given.

Intra-University Transfers

18.06 The Employer agrees that any employee who desires to transfer to a vacancy for which he/she is qualified in another Department/Division, or Faculty, or the Library, shall be given first consideration for such a vacancy.

18.07 Any employee who transfers or is transferred to a position within the bargaining unit in another Department/Division, or Faculty, or the Library, of the University shall retain, as a minimum, salary,

tenure/continuing appointment, rank, seniority, years of service toward sabbatical leave and pension, and all similar entitlement.

Workload of Faculty Members

18.08.1 The workload of faculty members shall, consistent with the stream concerned, include teaching, research/scholarly/creative activities, and service to the University. The Employer shall attempt to achieve an equitable distribution of workload among faculty members. The "normal workload" of a Faculty shall be defined by current practices, or as may hereafter be agreed to by the parties.

The "normal teaching load" component of workload or "normal workload" is recognized to constitute a complex of course direction (including duties attendant on mode of delivery), tutorial direction or advising or their equivalents, supervision of dissertations, theses, senior essays or their equivalents and directed reading courses. The number of full courses or full-course equivalents constituting a "normal teaching load" shall be defined by current practices. In calculating full-course equivalents, the factors named above shall be considered, in particular class size and student load.

Determination of the full-course equivalents taught by a faculty member in any given year in satisfaction of the "normal teaching load" shall include consideration of class sizes and total student load, course levels, the nature of the course (e.g. writing intensive or critical skills components), mode of delivery and course related responsibilities such as tutorial direction, supervision of tutors, grading responsibilities or their equivalents, course preparation (i.e. new courses, "short notice", etc.), supervision of dissertations, theses, senior essays, or their equivalents, and directed reading courses. The necessity to provide suitable scheduling and breadth of academic programmes will often require year to year changes in these variables.

18.08.2 Normally, the structure, format and mode of delivery of courses shall be determined by the relevant unit(s) in conformity with the requirements of the curriculum as approved by Senate and with established practices.

For the purposes of Article 18, modes of delivery of instruction include correspondence courses, and courses delivered all or in part by technologically enhanced instruction, including, but not limited to, computer-mediated conferencing, teleconferencing and the Internet. Assignment of courses using alternate modes of delivery shall be consistent with the pedagogic and academic judgements and principles of the faculty member employee as to the appropriateness of the use of technology in the circumstances. Furthermore, it is recognized that not all courses are appropriate for alternate delivery. Normally, a faculty member will not be required to convert a course without his/her agreement. Disputes respecting these matters shall be submitted to JSIT or DRC for resolution.

The parties agree to refer issues respecting courses employing alternate modes of delivery, including appropriate class size, to JSIT, which may make recommendations to the parties and, where relevant, to the appropriate Senate committees.

In the case of Atkinson correspondence courses:

(a) the parties agree to invite CUPE 3903 to participate in the deliberations of JSIT when it is considering issues respecting Atkinson correspondence courses;

(b) the administration will also request that CUPE 3903 agree to invite YUFA to participate in the joint

(Employer/CUPE) review of Atkinson correspondence courses including such issues as course credit, preparation time, class size and workload;

(c) in addition, the administration will request that CUPE 3903 agree that YUFA will have intervenor status in the arbitration, if any, which may be filed by CUPE 3903 should the parties (Employer and CUPE) be unable to agree during the course of their review.

In keeping with the responsibilities for maintaining an environment for work, as outlined in Article 18.37, the administration shall use all available means to provide an infrastructure, both human and material, to support technologies to enhance teaching and research activities. In fulfilling this responsibility, the administration will give serious consideration to all reasonable recommendations from the JSIT respecting such matters.

18.09 An alteration by the Employer of the normal workload of a unit, or Faculty, including normal teaching load component of the workload shall not be unreasonable, and shall only be made with the agreement of the Joint Committee, after consultation with the unit or Faculty concerned. The agreement of the Joint Committee to such an alteration shall require agreement of a majority of the Association representatives. The reasons for the alteration shall be presented to the academic unit so affected, in writing, with a copy to the Association.

The parties recognize that class sizes are a pedagogical concern, and are normally determined by collegial decisions in conformity with established practices.

18.10 Within an academic unit, the Dean of the Faculty, or his/her designate, shall, with due notice, assign teaching duties to individual faculty members in the light of the individual's discipline and specialties, and consistent with the normal teaching load of the stream and the Faculty or Department in question, and its equitable (i.e. fair) distribution among members of the unit. Teaching duties shall include, but not be limited to, advising students and prospective students, and conducting scheduled classes. Adherence to the normal teaching load shall encompass necessary minor year-to-year fluctuations in an individual's teaching load, these fluctuations balancing out over time. An individual may, also, with the agreement of the Dean or designate, undertake more than a normal teaching load. The parties agree that the Dean will exercise his/her powers under this clause consistent with current practices.

18.11 In exceptional cases, the Dean or designate may increase or reduce the teaching load or service commitments of an individual faculty member in the light of the individual's research/scholarly/creative and service contributions. Any increase in the teaching load or service commitments of an individual shall be based on the individual's research/scholarly/creative and service contributions as assessed by the academic unit in question, or by procedures agreed to by the academic unit in question.

The reasons for any variations in the normal teaching or service load, and the exceptional circumstances therefore, shall be communicated in writing to the faculty member so affected, with a copy to the Association, and the decision shall be subject to the grievance and arbitration procedures established by this Agreement, for the purpose of determining whether such a variation was justified.

18.12 In the case of an increase in the normal teaching or service load without the consent of the individual, the individual shall be given reasonable notice in writing of the increase. In no such case may an exceptional increase in teaching or service load be made two (2) years in succession, and the same individual may not receive an exceptional increase in teaching load two (2) times in succession, nor may he/she receive an increase of more than one course above the normal load. Exceptional increases shall not

be assigned in the sabbatical year or the year following sabbatical leave.

18.13 There shall be no increase to normal workload and teaching workload (including class size) unless the Committee named in 18.14 is activated and makes its report, which shall be due no later than April 30, 1994. Further, the Parties agree that alterations in workload (including class size) in response to changing circumstances shall not be considered as establishing new workload norms.

18.14 The parties agree to establish a Joint Committee on Teaching Load and Class Size, composed of an equal number of representatives appointed by each party.

(a) The Committee will study the issue of teaching loads, including class size.

(b) The administration agrees to provide the Committee with any information required to conduct its work in this regard.

(c) The Committee will receive from academic units reports respecting teaching load, taking into consideration factors such as, but not limited to: availability of space, facilities, and resources; programmatic/curricular requirements; overall workload and teaching load of each faculty member; workload and teaching load of untenured faculty; complement; comparable data at other universities; such other concerns as it may wish to bring to the attention of the parties.

(d) The Committee shall meet a minimum of four times per year.

(e) The administration agrees to inform the Committee of any relevant plans or intentions that might have an impact on teaching load, including class size.

(f) The Committee will study and make recommendations in light of the Collective Agreement concerning (i) the appropriateness in particular instances of teaching load, including class size; (ii) notice, when within a month of the commencement of classes, enrollments exceed those planned; and (iii) credit for course cancellations, exceptional course preparation, and alternate forms of delivery. The Committee will include student load in its study of (i)

18.15 The Employer agrees to continue reductions in the normal teaching loads of employees holding academic administrative positions within the bargaining unit on the same basis as in 1976-77, unless otherwise agreed to by an employee and his/her Dean/Principal/University Librarian or unless agreed to by the parties in the Joint Committee on Administration of the Agreement. Changes agreed to in the JCOAA shall not take effect until the employee currently holding the academic administrative position completes the appointment.

The Employer further agrees to inform the Association annually of all academic administrative functions or tasks for which release-time is granted.

The parties agree to a review by JCOAA of release-time for academic administrative positions within the bargaining unit.

Workload of Professional Librarians

18.16 (a) The normal work week for a professional librarian shall be thirty-five (35) hours per week, scheduled fairly and equitably during the operating hours of the Libraries. The workload of professional librarians shall, consistent with their specialties and qualifications, include public service, collections development, and bibliographic control. The workload of librarians shall, also consistent with a librarian's specialties and qualifications, include professional development, research and scholarship, and service to the University.

(b) The University Librarian or his/her designate shall be responsible for assigning in writing the general responsibilities of librarians in the light of the individual's specialties and qualifications, and in the light of the Libraries' and the University's needs and priorities and consistent with the normal load of the Libraries. The University Librarian or his/her designate shall ensure that the assignment of duties and responsibilities is fair, equitable and reasonable. Within the components of public service, collections development and bibliographic control, responsibilities shall include working with colleagues, supervising non-professional staff, and providing services to Library users. The University Librarian or his/her designate shall meet with each librarian once each year to review the assignment of responsibilities. If the responsibilities of a librarian on sabbatical or leave of more than one (1) month are assigned to another librarian, the written assignment of responsibilities shall be modified for the period of the assignment. An increase in librarian workload which is in response to changing circumstances shall not be unreasonable and shall not be considered as establishing new norms.

(c) The workload for librarians shall be established with due regard for their research and scholarly responsibilities. Release time shall be made available, within the scheduling of the normal work week, so that librarians may pursue research and scholarly work. The librarian desiring release time shall make application through his/her departmental chairperson to the University Librarian. Such requests shall not be unduly denied.

(d) In the assignment of workload the University Librarian or his/her designate may reduce assigned responsibilities of a librarian in candidacy to enable the librarian to engage in professional development, research and scholarship.

(e) A librarian shall be entitled to nineteen (19) days during the eleven (11) months of professional obligations and responsibilities to the University to pursue professional development, research and scholarship. This entitlement shall be made available within the scheduling of the normal work week. In order to ensure the orderly carrying out of a Librarians' responsibilities and the Libraries' responsibilities, a librarian shall inform his/her department head at least one (1) week in advance of when these days will be taken. Entitled days for professional development, research and scholarship may be accrued. Normally, no more than two (2) weeks of accrued entitlement may be taken in any four (4) week period.

18.17 The parties recognize the need for the Libraries and the professional librarians to maintain effective public services, collections development, bibliographic control in support of academic program, research and scholarly pursuits, and therefore, the need to halt the erosion of the librarian complement. In pursuit of this objective, the parties have agreed to the Letter of Intent as per Appendix I.

Reassignment/Transfer

18.18 The assignment of responsibilities may require the permanent reassignment of a librarian from one department or branch of the Libraries to another. Normally such reassignment shall be effected by the

University Librarian with the consent of the individual librarian and the chairpersons of the departments or branches involved. The parties recognize, however, that in exceptional circumstances, the effective management of the Libraries may require that librarians be reassigned without their consent.

In such cases, the University Librarian shall continue to take into account the specialties and qualifications of the librarian involved, shall effect such reassignment only after consultation with the individual librarian and chairpersons of the departments or branches involved, and shall give reasonable notice in writing to the persons concerned and the Association of the decision to reassign. The written notice shall state the reasons for the decision to reassign, and the exceptional circumstances that render it necessary. The University Librarian shall inform all librarians of the reassignment. Professional librarians who are permanently reassigned will retain continuing appointment, rank, seniority, salary, and the years of service toward sabbatical leave application, pension, and all similar entitlement.

Length of the Academic Year

18.19 Faculty shall be available for on-campus responsibilities from one (1) full week before classes commence in the session in which they are teaching until the consideration of grades by their Department or Faculty at the end of the appropriate session, and shall make themselves available, on reasonable notice, to address grade information requests after such Departmental/Faculty considerations, subject to clauses 18.20, 18.23, and 18.24, below.

18.20 The nature of the University's work is such that all faculty members share responsibility for the administration of the affairs of their respective Faculty and/or Departments, and for the year-round supervision of students. Thus all faculty members not formally granted leave may be required to assist in the carrying out of the affairs, responsibilities, and academic obligations of their Faculties and/or Departments throughout the calendar year.

(a) In order to ensure the orderly carrying-out of a faculty member's duties and Faculty and/or Department responsibilities, faculty members shall inform their Dean or designate of their planned summer schedule, indicating the anticipated vacation period. Assignment of summer duties shall be equitably shared among members of the Faculty or Department.

(b) Faculty members appointed to administrative duties shall inform their Dean or designate, or the Vice-President designated by the President, in advance of their one-month vacation period and any other planned absences from campus, and shall schedule such absences so as to ensure that their administrative responsibilities are performed in a manner satisfactory to the Dean or designate or Vice-President.

18.21 In order to ensure the orderly carrying out of a librarian's responsibilities and the Libraries' responsibilities, librarians shall inform the University Librarian or his/her designate of their planned vacation periods.

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Summer Teaching

18.22 A faculty member in the bargaining unit applying to teach in the Summer Session shall be given first consideration for appointment to one (1) full course, or the equivalent, within his/her area of expertise.

18.23 The Employer may, upon the giving of reasonable notice, assign teaching in the Summer Session to a faculty member without his/her consent, but the Employer shall normally exhaust the possibilities for staffing of summer courses through part-time appointments, overload appointments, or voluntary assignments, prior to the exercise of such right. The reasons for a compulsory summer teaching assignment shall be in terms of the needs of the University for effective scheduling of its curricular offerings, and shall be conveyed in writing to the faculty member by his/her Dean. For the purposes of this Agreement the Summer Session shall be construed as a term.

18.24 Compulsory summer teaching assignments shall be distributed among faculty members of the bargaining unit as equitably as possible, but, in any event, a faculty member may not be assigned summer teaching duties in more than one (1) full course or in two (2) consecutive summers. Summer teaching duties assigned compulsorily shall be balanced by a corresponding reduction in teaching load in the subsequent term or at a time to be agreed upon between the Dean/Principal/ University Librarian and the individual. Normally, a faculty member will not be required to teach in three (3) consecutive terms as the consequence of a compulsory summer teaching assignment.

When such an assignment (i.e. three (3) consecutive terms) is necessary, the faculty member so affected shall not be assigned summer teaching without his/her consent for the three (3) subsequent summers.

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Reduced Load

18.25 Employees may apply to their Dean/University Librarian or designate for a reduced load for a specified period of time. If such a reduction is granted, such employees shall be designated as "full-time; reduced load" and shall remain members of the bargaining unit. Salary and the Employer's contribution to salary-based fringe benefits will normally be reduced in proportion to the workload reduction, as will the credited years of service toward sabbatical leave and consideration for tenure.

Where an application for reduced load status of up to and including one-third of normal load is denied, the Dean/University Librarian shall set out in a written reply to the employee the reasons for the denial, which shall normally be in terms of the effective scheduling of a unit's teaching/library programme or administrative duties (in the case of those employees listed in Appendix A, Section C).

18.26 An employee granted "full-time; reduced-load" status may, at his/her own expense, maintain his/her salary-based fringe benefits on a full-rate basis. Employees applying for such status may also apply for a continuation of the Employer's contribution to salary-based fringe benefits on a full-rate basis, and the Employer may approve same, depending upon the nature of the reduction in load and the Employer's judgment as to the degree to which it is in the interests of the University as well as the employee.

Note: Employees eligible for Reduced Load under clause 14.02 (a)(b) shall be treated according to the terms of that clause.

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Restructuring and Redeployment

18.27 The parties recognize the importance of effective academic planning in maintaining the well-being of the University. In exercising its role in the academic planning process, in particular through its decisions concerning the disposition of the University's resources, the Employer shall respect the role of Senate in academic matters and shall also make reasonable efforts to ensure that all planning proposals are in conformity with the provisions of this agreement. Further, in conformity with the collegial role in academic planning, the Employer shall inform academic units as early as possible of any proposal that would affect them, and shall provide academic units with reasonable opportunity to participate in the planning process.

Restructuring

18.28 Before implementation, proposals for significant academic restructuring of Faculties, units, programs, and the use of redeployments shall be referred to the Joint Subcommittee on Long Range Planning.

Redeployment of Faculty Members

18.29 The parties agree that effective use of the University's resources, and the prevention of lay-offs for reason of financial necessity, require, inter alia, mechanisms for the redeployment of employees from one Faculty to another and/or one Department to another within a Faculty. Normally, such redeployment is effected with the consent of the individual employee and the Deans and Chairpersons of the Faculties and Departments involved. The parties recognize, however, that in exceptional circumstances the effective management of the University's academic work may require that employees be transferred from their Faculty/Department of original appointment on either a short-term or a permanent basis without their consent. Such compulsory transfers shall be of two (2) kinds.

Short-Term Transfer

18.30 Compulsory secondment of an employee to a unit other than the unit of his/her appointment, for a portion of his/her teaching duties, would normally be occasioned by:

(a) efforts to implement a Senate approved decision establishing particular academic priorities or emphases among programmes/units or within programmes/units;

(b) enrolment patterns which create serious imbalances in teaching loads of a kind which could be alleviated by transfers.

18.31 Such secondments shall be effected only after consultation among the Dean(s) and Chairperson(s) concerned and the employee. The Dean of the "home" unit shall confirm a decision about secondment in writing to the employee, with a copy to the Association, at least four (4) months prior to the date on which the transfer is to become effective.

The written notice of the decision shall indicate:

(a) the reasons requiring the secondment from the one unit to the other;

(b) the reasons for the selection of the particular employee for secondment.

The selection of a particular employee shall not be done in an unreasonable manner.

Permanent Transfer

18.32 Compulsory permanent transfer, in which case the employee's unit of appointment is changed, would normally be occasioned by:

(a) efforts to implement a Senate-approved decision establishing particular academic priorities or emphases among programmes/units or within programmes/units;

(b) significant and long-term changes in enrolment patterns which create serious imbalances in teaching loads of a kind which could be alleviated by transfers.

Compulsory permanent redeployment will only occur after the Employer has considered other alternatives, including temporary transfer, and determined that they were not appropriate.

18.33 Permanent transfers shall be effected by the President or designate, only after consultation among the Dean(s) concerned, the Chairperson(s) concerned, and the employee. The President or designate shall confirm a decision to transfer to the employee in writing at least seven (7) months prior to the date on which the transfer is to become effective.

The written notice of the decision shall indicate:

(a) the reasons requiring the permanent transfer from the one unit to the other;

(b) the reasons for the selection of the particular employee for permanent transfer.

(c) the reasons that other solutions, including short term transfer, were not considered appropriate.

The selection of a particular employee shall not be done in an unreasonable manner.

18.34 Sixty (60) days prior to the conveying of notice of permanent transfer to the employee, the President or designate shall inform the Joint Committee on the Administration of the Agreement of his/her intention to make a permanent transfer between the units in question, and shall provide documentation setting forth the need for or advisability of the transfer. A copy of this letter shall be sent to the Departments/Faculties involved.

18.35 Employees who are transferred will retain tenure, rank, seniority, salary, and years of service toward sabbatical leave and pension, and all similar entitlement.

18.36 No employee shall be compulsorily transferred during his/her period of candidacy.

Working Environment

18.37 The Employer recognizes its responsibility to provide an adequate level of facilities and services in support of the work of employees, including provision of reasonable office space, telephone, secretarial, library, computing, duplicating, technical, and other support services. The Employer recognizes, too, a

responsibility to provide sufficient facilities, supplies, and services to protect the health and safety of employees as they carry out their duties on University premises.

The Employer agrees to adhere to health and safety standards as embodied in current government legislation. The parties agree that the Employer shall provide, and employees shall make use of, protective equipment wherever the same is required for the safe and effective performance of employees' duties. The parties agree to carry on continuing educational programmes on safety and security procedures for employees. The Employer further agrees to continue its practice of accommodating campus facilities to the needs of physically handicapped members of the University where feasible. The Employer agrees that YUFA shall be represented on any University-wide Safety Committee involving bargaining unit representatives.

The Association shall be entitled to name one member to the University's Computer Services Committee (advisory to the Vice-President (Academic Affairs)).

Office Space for Sabbaticants

18.38 All reasonable efforts will be made to accommodate employees proceeding on sabbatical leave, who have given advance notice of this need, for office space on-site during that sabbatical. Should the employees' normal on-site office not be available, replacement office shall be provided but may be on a shared basis.

Fines and Charges

18.39 The Employer agrees to impose no fines other than for the violation of library borrowing regulations and parking regulations. The Employer agrees that the Association shall be represented on the Presidential Advisory Committee which recommends the level of fines for violation of parking regulations. The Employer agrees that no levies shall be made against the salaries of employees during the life of this Agreement without the consent of the Association.

Parking for Physically Challenged

18.40 The Employer shall provide parking locations which are satisfactorily proximate to the offices of faculty/librarians who are physically challenged.

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ARTICLE 19

Leaves

Short-Term Leave

19.01 Sick leave or emergency leave of a week or less may be arranged by an employee with his/her Chairperson (or Dean/University Librarian where applicable), who shall inform the Dean/University

Librarian or designate. When advance notice is not possible, the employee should notify the Chairperson (or Dean/University Librarian where applicable) as soon as possible of the nature and expected duration of the absence from duties.

In granting sick leave of longer than one (1) week and up to one (1) month in duration, the Employer may require medical verification of the nature and expected duration of the illness. In exceptional cases, the Employer may, at its expense, require a second opinion from a mutually acceptable practitioner.

19.02 Sick leave, compassionate leave, bereavement leave, emergency leave, or other short-term leaves for up to one month may be arranged by an employee with his/her Dean/Principal/University Librarian.

In granting sick leave of up to one (1) month in duration, the Employer may require medical verification of the nature and expected duration of the illness. In exceptional cases, the Employer may, at its expense, require a second opinion from a mutually acceptable practitioner.

Requests for leave of up to one (1) month in duration, for reasons other than illness, shall be made in writing by the employee to his/her Dean/Principal/University Librarian. The Dean/Principal/University Librarian shall deliver his/her reply to the request as promptly as possible, indicating in writing approval or disapproval, and setting out reasons for any denial, which shall normally be in terms of the effective scheduling of a unit's teaching/library programme.

19.03 In the case of short-term leave for up to one (1) month in duration, for purposes of illness or medical leave or compassionate leave or bereavement leave or emergency leave or other leave, the employee on short-term leave shall continue to receive full pay and all benefits. In the case of short-term leave for up to one (1) month in duration, for purposes other than illness or compassion, the Employer may reduce the salary of the individual on leave, for the period of the leave, depending upon the purpose of the leave and any remuneration resulting from it.

19.04 The teaching/professional and service responsibilities of an employee on short-term leave will normally be assumed by his/her colleagues without additional expenses to the Employer.

19.05 Short-term leaves as provided for in clauses 19.01, 19.02, 19.03 and 19.04 shall not be unreasonably denied.

Long-Term Leave

Sick Leave

19.06 Where an employee requests sick leave for longer than one (1) month or is absent by reason of illness for longer than one (1) month, the Employer shall grant sick leave with full pay and benefits for a period of up to fifteen (15) weeks from the beginning of his/her absence or until the University's Long-Term Salary Continuance Programme comes into effect, whichever occurs sooner. In granting long-term sick leave, the Employer may require medical verification of the nature and expected duration of the illness. In exceptional cases, the Employer may, at its expense, require a second opinion from a mutually acceptable practitioner. If the employee is not deemed eligible for benefits under the LTSCP, the Employer may grant a leave of absence without pay, a leave at reduced salary, or continuance of full salary and benefits, for a specified period of time.

The Employer may require medical verification of the employee's fitness to resume all of the

responsibilities expected of the employee and may, at its expense, require a second opinion from a mutually acceptable practitioner.

19.07 If an employee is absent for more than one (1) month, the Employer shall normally arrange for a substitute or shall provide appropriate remuneration or other compensation to colleagues who assume his/her duties.

Maternity, Paternity, Parental and Adoption Leave

The Administration must bring the Collective Agreement in line with changes to Employment Standards Act and Unemployment Insurance Commission Regulations. YUFA and the Administration to continue discussing.

19.08 A female employee shall be granted maternity leave with full salary and benefits:

(a) be granted maternity leave with full salary and benefits for a period of up to seventeen (17) weeks, to be taken at the discretion of the employee during the period(s) immediately preceding and/or following the birth of her child;

(b) be granted adoption leave with full salary and benefits for a period of up to four (4) weeks, to be taken at the discretion of the employee during the period(s) immediately preceding and/or following the coming of the child into the custody, care and control of a parent for the first time.

(c) be entitled to a parental leave of absence without pay for a period of up to eighteen (18) weeks following,

i) the birth of the child; or

ii) the coming of the child into the custody, care and control of a parent for the first time.

Parental leave may begin no more than thirty-five weeks after the day the child is born or comes into the custody, care and control of a parent for the first time.

The parental leave of an employee who takes a maternity/adoption leave must begin when the maternity/adoption leave ends unless the child has not yet come into the custody, care and control of a parent for the first time.

During parental leave the employee shall be entitled but not required to maintain membership in any or all of the benefits from time to time in force through the Collective Agreement. During an employee's parental leave the Employer shall continue to make the Employer's contributions to the University's benefit plans unless the employee gives the Employer a written notice in advance of the leave that the employee does not intend to pay the employee's contributions, if any.

An employee shall, if she so chooses, have the right to continue with her regular duties during pregnancy.

Should the health of the mother or child require additional time off from University duties, the employee may apply to her Dean/Principal/ University Librarian for a leave of absence without pay for an additional period of up to twelve (12) weeks. (See Clause 19.13)

Application for maternity leave shall be made as early as possible in advance of the expected delivery date. Application for adoption leave shall be made as early as possible. The employee shall give due regard to the need of the University for early notice of a prolonged period of leave.

19.09 The teaching/professional and service responsibilities of an employee on maternity leave or adoption leave and/or parental leave of less than one (1) month shall normally be assumed by her colleagues without additional expense to the Employer. If an employee takes maternity leave or adoption leave and/or parental leave of longer than one (1) month, the Employer will normally arrange for a substitute or shall provide appropriate remuneration or other compensation to colleagues who assume her duties.

19.10 A male employee shall:

(a) be granted paternity leave with full salary and benefits for a period of up to four (4) weeks, to be taken at the discretion of the employee during the period(s) immediately preceding and/or following:

(i) the birth of the child; or

(ii) the coming of the child into custody, care and control of a parent for the first time.

(b) be entitled to a parental leave of absence without pay for a period of up to eighteen (18) weeks following,

(i) the birth of the child; or

(ii) the coming of the child into the custody, care and control of a parent for the first time.

Parental leave may begin no more that thirty-five weeks after the day the child is born or comes into the custody, care and control of a parent for the first time.

The parental leave of an employee who takes a paternity leave must begin when the paternity leave ends unless the child has not yet come into the custody, care and control of a parent for the first time.

During parental leave the employee shall be entitled but not required to maintain membership in any or all of the benefits from time to time in force through the Collective Agreement. During an employee's parental leave the Employer shall continue to make the Employer's contributions to the University's benefit plans unless the employee gives the Employer a written notice in advance of the leave that the employee does not intend to pay the employee's contributions, if any.

The teaching/professional and service responsibilities of an employee on paternity leave and/or parental leave of less than one (1) month shall normally be assumed by his colleagues without additional expense to the Employer. If any employee takes paternity leave and/or parental leave of longer than one (1) month, the Employer will normally arrange for a substitute or shall provide appropriate remuneration or other compensation to colleagues who assume his duties.

Application for paternity leave shall be made as early as possible. The employee shall give due regard to the need of the University for early notice of a prolonged period of leave.

19.11 If both parents are employees they may share between them their paid periods of leave. As much advance notice as possible of the expected duration of each employee's leave shall be provided to the Dean(s)/Principal/University Librarian.

19.12 An employee on maternity leave, paternity leave, parental leave, or adoption leave shall accumulate years of service credit for all relevant provisions of this Agreement as if he/she were a full-time, on-site employee.

Leave of Absence Without Pay

19.13 An employee may apply in writing to the Dean/ Principal/University Librarian or designate for leave of absence without pay at any time, and the Dean/Principal/ University Librarian or designate shall reply in writing within thirty (30) days. Where such a request is denied, the letter from the Dean/Principal/University Librarian or designate shall set out the reasons for the denial, which shall normally be in terms of the effective scheduling of a unit's teaching/library programme or administrative duties (in the case of those employees listed in Appendix A, Section C) or pursuant to 19.15(a) or (b).

A copy of both the request and reply shall be filed with the Chairperson (where applicable). An employee on leave of absence without pay shall be entitled but not required to maintain membership in any or all of the University's benefit plans from time to time in force. Employees applying for such leave may apply also for a continuation of the Employer's contribution to benefit plans, and the Employer may approve same, depending upon the nature of the leave and the Employer's judgment as to the degree to which the leave is in the interests of the University as well as the employee. Eligibility for participation in the University's Guaranteed Housing Loan Plan and the spouse's/dependents' tuition waiver programme will not be affected by the leave.

19.14 Time spent on leave of absence without pay normally carries no credit as years of service either toward eligibility for consideration for tenure/continuing appointment or toward sabbatical leave. If the Employer approves an employee's request that a leave of absence without pay carry such credit, the terms of such credit and the applicability or otherwise of any "career progress" increments shall be agreed upon in writing at the time of the approval of the leave.

19.15 (a) Employees in the probationary classification shall not normally be granted more than two (2) years of leave of absence without pay as per 19.13, during the probationary period.

(b) Leave of absence for a period of more than three (3) years, or consecutive leaves accumulating to more than three (3) years, will not normally be approved (with the exception of political leaves, as specified in clauses 19.21 to 19.23).

Extensions of leaves of absence beyond three (3) years may be granted by the Employer after consultation between the Employee's Dean and Department.

Sickness/Pregnancy/etc.dDuring Sabbatical Leave

19.16 The Parties recognize that there may be cases in which employees on sabbatical leave suffer a serious interruption of their stated programme of activities because of personal illness, disability, pregnancy, etc. In such cases, it may be appropriate for the employee to request that the sabbatical arrangements be modified or cancelled. The JCOAA shall be charged with making recommendations to the Parties respecting the criteria and procedures to be employed in making and responding to such

requests.

Court Leave

19.17 An employee who has been summoned to be a witness or juror by any body in Canada with the power of subpoena, shall, if his/her attendance requires him/her to be absent from his/her scheduled teaching/professional or service responsibilities, notify his/her Dean/Principal/University Librarian or designate of the summons as soon as possible after its receipt, and shall supply the Dean/University Librarian or designate with a copy of the summons, upon request. An employee who has complied with the foregoing shall be granted paid leave of absence during the period of service to the court or summoning body. Upon his/her return to work, the employee shall supply the Dean/University Librarian or designate upon request, with written confirmation of the dates of service, signed by an appropriate officer of the court or summoning body. The employee shall be entitled to retain any jury or witness fees. The teaching/professional and service responsibilities of the employee on such leave will normally be assumed by his/her colleagues without additional expense to the Employer, except where such leave exceeds a period of one (1) month, in which case the terms of clause 19.07 shall apply.

Terminal Leave

19.18 In conformity with existing practice, an employee denied tenure/continuing appointment shall be offered a final year of on-site employment at full salary. Such employees may, alternatively, apply for a terminal assisted leave, to take the form of either:

- (a) a twelve (12) months' leave at 50% of base salary, or such higher rate as the Employer at its discretion may decide, or
- (b) a six (6) months' leave at 100% of base salary.

In the case of either form of leave, the employee shall make his/her application to the Dean within thirty (30) days of notification of the President's decision not to recommend tenure/continuing appointment, and the Dean's reply to the application shall be made within thirty (30) days of the Dean's receipt of the application.

Educational Leave

19.19 (a) In order to satisfy York University's future needs for particular skills and qualifications, and in order for employees to enhance their academic and professional qualifications, the Employer may grant study leaves with full or partial pay.

In particular, the Employer may provide financial support to employees who wish to undertake programmes of study in order to better qualify themselves for internal transfers and to provide for a higher level of professional flexibility. One may apply to have any period of educational leave regarded as normal university service with full entitlement to fringe benefits. The Employer's reply to such application shall be in writing.

(b) Commencing with the 1984/85 academic year, the Employer agrees to provide funds for the purpose of providing opportunities for probationary or tenured/continuing appointment employees to take educational leave for approved plans of study for purposes to include, but not be limited to, attainment of a higher level of professional flexibility and better qualification for internal transfer.

Employees on educational leave under this clause shall continue to receive full salary and benefits and to accumulate years of service credit for all provisions of this Agreement as if they were full-time, on-site employees.

Funds provided under this clause shall be provided to the academic unit(s) (in this instance to include the librarian's department or branch where practicable) of employees awarded educational leave under this clause, consonant with the number of courses from which the employee on leave has been released, at the normal rate currently being paid by the Employer to part-time Course Directors, to an overall maximum of nine (9) part-time Course Directorships or equivalent. Any funds not expended shall be carried forward for distribution within the following two (2) academic years.

(c) A University-wide committee on educational leaves shall be established within thirty (30) days of the signing of this Agreement, its composition to be determined by the parties in the JCOAA. The Committee on Educational Leaves shall be charged with soliciting and deciding upon employees' applications for educational leaves under this clause. The decisions of the committee shall be based upon and constrained by the academic needs of departments/ divisions, Faculties, the Library, or the University, and subject to criteria established by the JCOAA. The committee shall endeavour to distribute educational leave awards under this clause across the University community. The committee normally shall render its decisions by the end of the fall term of the previous academic year. The decisions of the committee shall not be grievable.

Employees accepting educational leaves supported by the fund established under this clause shall return to active on-site service at the University following their leaves, and shall be required to make an undertaking to repay 100% of the funds allocated in support of their leaves if they do not so return, or 50% of those funds if they do not return for at least two (2) years of active on-site service.

Political Leave

19.20 To the extent permitted by law, an employee holding a probationary or tenured/ continuing appointment may stand for election to any Canadian political office without prejudice to his/her University position, and in the case of federal/provincial office, shall be granted leave of absence up to one (1) month in the event that his/her teaching/professional and service responsibilities can be assumed by his/her colleagues without additional expense to the Employer. An employee elected in a federal or provincial election who does not resign from his/her appointment at York University shall be granted political leave.

19.21 Political leave shall be of two kinds:

- (a) full leave from University duties, at no pay;
- (b) partial reduction in University duties, at a corresponding reduction in pay.

The determination as to which kind of leave shall apply in a particular case shall lie with the Employer, following its consideration of the degree to which the individual's public responsibilities will interfere with his/her University duties. The Employer may substitute a leave under category (a) for a leave under category (b), upon sixty (60) days' notice to the individual. The notice to the individual shall be in writing, and shall set out the reasons for the substitution.

19.22 An employee elected to municipal office may apply for political leave as set out in clause 19.20. The Employer also may require that an employee elected to municipal office take political leave as set out in clause 19.20, unless the employee can demonstrate that his/her public responsibilities will not interfere with his/her University duties. Such leave shall be for the term of the political office in question. The maximum length of such leave(s) shall be six (6) years, following which the individual must either resign his/her University position or return to full-time duties.

19.23 The date upon which political leave becomes effective shall be determined mutually by the individual and the Dean/University Librarian or designate, but shall in no case be later than the opening date of the session of the body to which the employee has just been elected.

19.24 Political leave may extend for six (6) years, or two (2) terms of office, whichever period is greater. "Term of office" shall be taken to include the period between dissolution of a parliament or legislature and the subsequent election. Beyond such period of time, or if the individual ceases to hold office (office being taken to cover the period of actual office holding plus the period ending with the individual's failure to be reelected), the individual must either resign his/her University position or return to full-time duties.

19.25 An employee on political leave shall be entitled but not required to maintain membership in any or all of the University's benefit plans from time to time in force. Eligibility for participation in the University's Guaranteed Housing Loan Plan and the spouse's/dependents' tuition waiver programme will not be affected by political leave. Time spent on political leave shall carry no credit as years of service either toward eligibility for consideration for tenure/continuing appointment or toward sabbatical leave.

19.26 An employee shall return from political leave at the same rank, appointment classification, and salary level (plus any intervening across-the-board adjustments, including cost-of-living allowance and, at the discretion of the Employer, "career progress" or equivalent increments) as held at the time of his/her election.

19.27 The salary and duties of an employee returning from political leave shall commence on the first of the month next following the election in which he/she is not reelected, unless an alternate recommencement date has been approved by the Employer.

External Release Time Fellowships

19.28 Employees holding release time fellowships from granting agencies such as, but not limited to, SSHRC/NSERC/MRC shall continue to receive Employer contributions to Pension and salary based benefits at 100% of full academic base salary rate. Such employees shall accumulate years of service credit for all relevant provisions of this Agreement as if they were full-time, on-site, employees.

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Internal Support For Teaching and Research

Faculty/Library Research Grant Funding

19.29 (a) The Employer agrees to maintain as "Faculty/Library Research Grant Funding" the budgeted level of Minor Research Grant Funding established for 1990-91 funding level, as per article 19.26 of the

1987-1989 Collective Agreement plus 4.8%. Any funds not expended shall be available in the following year.

Junior Faculty Fund

(b) A fund of \$65,000.00 will be provided to support research by junior (untenured) faculty members.

Conference Travel

(c) The Employer agrees to maintain its 1990-91 budgeted level of conference travel support, as per article 19.28 of the 1987-1989 Collective Agreement plus 4.8%. Any funds not expended shall be available the following year.

Leave Fellowship Fund

19.30 The Employer agrees to provide a Leave Fellowship Fund of \$125,000 plus 4.8% to provide peer adjudicated additional grants of up to 10% of academic base salary to sabbaticants. The grants shall be subject to the conditions set out in Article 20.17, and to an absolute maximum of \$10,000 on any one grant. The award of these grants shall be the responsibility of the Senate Research Committee.

Teaching-Learning Development Fund

19.31 The Employer agrees to establish a University Teaching-Learning Development Fund of \$20,000 plus 4.8% with additional contingency support of up to \$10,000 plus, should it prove required to meet bona fide demand, for the purpose of providing financial support to innovative teaching-learning projects, to be carried out either by individual members of the bargaining unit or by academic units. All members of the bargaining unit shall be entitled to apply for these funds. Awards from this Fund shall be available, at the latest, for the 1992-93 academic year. Any funds not awarded shall be retained for distribution in the following year.

The parties agree that they will jointly invite the Senate Committee on Teaching and Learning to recommend to them:

--- appropriate allocation among Faculties of the monies provided by this clause (including the possibility of establishing a central fund);

--- general criteria and procedures to be applied in distribution of the funds either within Faculties or centrally.

The recommendations of SCOTL shall be considered, and decisions on these matters taken by the JCOAA.

Release Time Teaching Fellowships

19.32 The Employer agrees to provide \$52,400 for the purpose of awarding release time teaching fellowships to members of the bargaining unit for the purpose of enhancing their teaching skills and for developing teaching programmes. All members of the bargaining unit shall be entitled to apply for these fellowships.

According to the provisions of this clause, funds shall be provided to the academic unit(s) of the employees who are awarded teaching fellowships. The amount of funds awarded to each unit shall be consonant with the proportion of workload from which the employee has been released.

Awards shall be made to commence, at the latest, in the 1990-91 academic year. Any funds not awarded, shall be retained for distribution in the following year.

The parties agree that they will jointly invite the Senate Committee on Teaching and Learning to recommend to them appropriate criteria and procedures to govern the award of Release Time Teaching Fellowships. The JCOAA, taking into consideration SCOTL's recommendation, shall establish the criteria and procedures.

Technological Change Fellowships/Grants

19.33 (a) The Employer shall establish a fund of \$30,000 to provide financial support either in the form of research grants and/or release-time to enable bargaining unit members to carry out innovative projects which focus on technological change. Awards to be made by a committee comprised of four members; two members to be appointed by the Association, and two by the administration.

Criteria and procedures will be developed by the committee and recommended to JSIT for approval. Any funds not expended shall be carried forward for distribution within the following two (2) academic years.

(b) The Employer shall establish a fund of \$40,000 for the purpose of providing financial support either in the form of research grants and/or release-time to enable bargaining unit members to carry out innovative projects which study the effectiveness of technology in teaching and learning. Awards to be made by a committee comprised of four members; two members to be appointed by the Association, and two by the administration.

Criteria and procedures will be developed by the committee and recommended to JSIT for approval. Any funds not expended shall be carried forward for distribution within the following two (2) academic years.

Research Development Fellowship Program

19.34 The parties have agreed to submit to the Joint Committee on the Administration of the Agreement a proposal to revise the text of the Research Development Fellowship Programme. If no agreement is reached in a timely manner, the matter will be submitted to the Dispute Resolution Committee for resolution.

In the interim, the terms and conditions respecting the Research Development Fellowship Program are set out in Appendix M of this Agreement.

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ARTICLE 20

Sabbatical Leave

20.01 The purpose of sabbatical leave is to serve the objectives of the University by affording employees a regular opportunity to maintain and enhance their academic and professional competence free from normal on-campus teaching/professional and service obligations. Sabbatical leave is intended to promote high levels of scholarly and professional activity by employees through sustained periods of concentrated study, contemplation, and creative work, and through the extension of the range of contacts of employees to other people, places, experiences, and ideas. The parties to this Agreement acknowledge a joint responsibility to ensure the effective use of sabbatical leaves so as to strengthen the University in the achievement of its objectives.

Sabbatical Leave for Faculty Members

20.02 (a) Tenured faculty members in the Professorial or Alternate Stream are entitled to one (1) full year of sabbatical leave after six (6) years of service, subject to clauses 20.05, 20.06, and 20.07, below. Normally a faculty member will take sabbatical leave every seventh (7) year. However:

(i) the employee may, with the permission of the Dean or designate, take leave before the year in which he/she would normally be entitled to take leave. Similarly, the Dean or designate, in consultation with the Chairperson (where applicable), may request that an individual advance his/her sabbatical leave in the interests of effective scheduling of a unit's course offerings. In both these cases of a sabbatical being taken earlier than in the normal year, the individual shall be entitled to take his/her next sabbatical in the seventh (7) year following the normal year.

(ii) the employee may, with the permission of the Dean or designate, take leave later than the year in which he/she would normally be entitled to take leave. Similarly, the Dean or designate, in consultation with the Chairperson (where applicable), may require that an individual delay his/her sabbatical leave in the interests of effective scheduling of a unit's course offerings. Notice of a required delay shall be given in writing to the employee at least fourteen (14) months in advance of the normal starting date of the leave. In both these cases of a sabbatical being taken later than in the normal year, the individual shall be entitled to take his/her next sabbatical in the seventh (7) year following the normal year.

Deans and Chairpersons (where applicable) shall establish a roster of impending sabbatical leaves so that faculty members are aware well in advance of the likelihood of delay, or the possibilities for advancement, of their sabbatical leaves.

(b) In the case of employees who have not yet received a decision on tenure, but who have satisfied the years of service requirement established in 20.02 (a), the Employer may, at its discretion, grant sabbatical leave as provided in this article.

20.03 Current faculty members who have been appointed to York University directly from service at another university shall be granted credit for such service in calculating years of service towards entitlement to a first sabbatical at York. Such credit shall be granted on the basis of one (1) York year of service for each two (2) years of active full-time faculty service since sabbatical at the previous university, or, if there has been no sabbatical at the previous university, since the date of first full-time academic appointment, to a maximum of three (3) York years of service. For faculty members appointed to York University directly from full-time faculty service at another university on or after July 1, 1983, such credit shall be granted on the basis of one (1) York year of service for each two (2) years of active, unbroken, full-time faculty service since sabbatical at their previous university(ies), or if there has been no sabbatical

at the previous university(ies), since the date of first full-time faculty appointment, to a maximum of three (3) York years of service. In order to provide for a smooth transition in the application of the terms of this Agreement, the Dean, in consultation with the Chairperson (where applicable), may rule that the effective scheduling of a unit's course offerings renders it not feasible for all or part of such credit to be granted to advance a faculty member's first York sabbatical leave from its normal seventh (7) year.

In such cases, the remaining credit shall be applied as years of service toward the second sabbatical leave. Tenured employees who had accumulated more than six (6) years accredited toward entitlement to sabbatical leave by 30 June 1977 will normally be deemed to have accumulated six (6) years of such accreditation, but at the discretion of the Employer, such employees may be given applicable years of service credit toward their subsequent sabbatical leave.

20.04 The Employer shall inform prospective faculty members of clause 20.03 and may, at its discretion, enter into agreement with an individual faculty member to award York years of service credit toward a sabbatical leave in order that a faculty member be entitled to a sabbatical leave earlier than would normally be the case. Such agreement shall be made between the faculty member and the Employer in writing, and made at time of appointment of the faculty member to the University.

20.05 At least fifteen (15) months before the normal starting date of his/her sabbatical leave, a faculty member shall indicate to his/her Chairperson or Dean his/her intent to proceed to sabbatical leave. A Dean who receives from a faculty member a statement of intent to proceed to sabbatical leave shall respond to the scheduling of the sabbatical leave as specified in the statement of intent within three (3) months of receipt, either agreeing to the scheduling of the sabbatical leave or denying it and stating the reasons for the denial. Failure of the Dean to respond within three (3) months shall constitute approval of the scheduling of the sabbatical leave as proposed by the faculty member. The statement of intent may subsequently be withdrawn by the faculty member with the approval of the Dean.

Failure of the faculty member to express an intent to proceed to sabbatical leave or to request an advancement/delay of the normal sabbatical leave shall constitute a waiving of the entitlement to the sabbatical leave in question. A faculty member shall provide to his/her Chairperson (where applicable) and Dean general statement of his/her programme of activities planned for the period of sabbatical leave. By 1 November next following his/her return from sabbatical leave a faculty member shall file a report on his/her sabbatical leave with his/her Chairperson (where applicable), with a copy to the Dean and the Office of Research Administration.

20.06 In very exceptional and abnormal circumstances, relating only to a faculty member's second or subsequent sabbatical leave, the Dean may, after consultation with the faculty member's Chairperson (where applicable) recommend to the President that sabbatical leave be denied the faculty member. The decision to deny a sabbatical leave shall be based on evidence pertaining to the body of a faculty member's performance, during and subsequent to his/her previous sabbatical leave, of those professional responsibilities directly germane to the effective use of the sabbatical leave, which establishes conclusively that the University and the individual will not benefit from his/her programme of leave in terms of the purposes of sabbatical leave as set out in clause 20.01, above.

When sabbatical leave is denied, within thirty (30) days of the Dean's receipt of the statement of leave programme, the faculty member shall be provided with a detailed written statement containing the reasons for the denial, the specific evidence on which the denial is based, and a record of the Employer's communication to the employee of dissatisfaction with his/her performance. An employee so affected shall have full access to the grievance and arbitration procedures established by Article 9 of this

Agreement. If the matter is grieved and taken to arbitration, the arbitrator or arbitration board shall have jurisdiction to determine whether sabbatical leave shall be granted.

20.07 A faculty member proceeding to sabbatical leave shall report to his/her Dean or designate all non trivial income for professional services of which receipt from sources other than York University is anticipated. Such income, to include salary, professional fees, and research stipends, together with the York sabbatical salary, shall not exceed 100% of the faculty member's normal professional income, plus reasonable research, travel, and associated expenses. Where such total is exceeded, the York sabbatical salary may be correspondingly reduced. Consistent with the foregoing, a sabbatical leave is not normally intended to allow an opportunity for a faculty member to assume a full-time salaried position elsewhere.

A faculty member wishing to do so will normally resign or make application for a leave of absence without pay. Individuals proceeding to sabbatical leave are encouraged to apply for external research assistance, and the University shall assist a faculty member in the classification of a portion of his/her sabbatical salary as a research grant.

20.08 Sabbatical leave is normally for a period of twelve (12) months and will normally begin on either 1 July or 1 January. A faculty member may apply to take his/her sabbatical leave in the form of a six (6) months' leave also normally beginning on either 1 July or 1 January.

Sabbatical Leave for Professional Librarians

20.09 (a) All librarians with continuing appointments are entitled to sabbatical leave to take place after six (6) years of service, subject to Articles 20.10 and 20.11. Sabbatical leave will normally begin on the first of the anniversary month of initial appointment at York.

(b) Normally, a librarian will take sabbatical leave every seventh (7) year. However, the employee may, with the permission of the University Librarian or designate, take sabbatical leave before or after the year in which he/she would be normally entitled to take leave. Similarly, the University Librarian or designate may request that an employee delay his/her sabbatical in the interests of maintaining effective scheduling of library services. Notice of a required delay with rationale shall be given in writing to the librarian at least nine (9) months in advance of the normal starting date of the leave. In all such cases, the individual shall be entitled to take his/her next sabbatical in the seventh (7) year following the normal year.

(c) The University Librarian shall establish a roster of impending sabbatical leaves so that Professional Librarians are aware well in advance of the likelihood of delay, or the possibilities for advancement, of their sabbatical leaves.

20.10 At least twelve (12) months before his/her expected starting date of his/her sabbatical leave, a librarian shall submit to the University Librarian or designate a statement of his/her intent to proceed to sabbatical leave together with a general statement of his/her programme of leave to maintain and enhance his/her academic and professional competence. Failure of a librarian to express an intent to proceed on his/her normal sabbatical leave or to request an advancement/delay of the normal sabbatical leave shall constitute a waiving of the entitlement to the sabbatical leave in question.

The University Librarian, having received a statement of intent to proceed to sabbatical leave, shall respond to the scheduling of the sabbatical leave as specified in the statement of intent within three (3) months of receipt, either agreeing to the scheduling of the sabbatical leave or denying it and stating the reasons for denial. Failure of the University Librarian to respond within three (3) months shall constitute

approval of the scheduling of the sabbatical leave as proposed by the librarian.

The statement of intent may be subsequently withdrawn by the librarian with the approval of the University Librarian. Within three (3) months following his/her return from sabbatical leave, a librarian shall file with the University Librarian, with a copy to the Office of Research Administration, a complete report of his/her sabbatical leave project.

20.11 In very exceptional and abnormal circumstances, relating only to a librarian's second or subsequent sabbatical leave, the University Librarian may after consultation with the Department Head (where applicable) recommend to the President that sabbatical leave be denied the librarian. The decision to deny a sabbatical leave shall be based on evidence pertaining to the body of the librarian's performance, during and subsequent to his/her previous sabbatical leave, of those professional responsibilities directly germane to the effective use of the sabbatical leave, which establishes conclusively that the University and the librarian will not benefit from his/her programme of leave in terms of the purposes of sabbatical leave as set out in Clause 20.01 (above). When sabbatical leave is denied, within thirty (30) days of the University Librarian's receipt of the statement of leave programme, the librarian shall be provided with a detailed written statement containing the reasons for the denial, the specific evidence on which the denial is based, and a record of the Employer's communication to the employee of dissatisfaction with his/her performance. An employee so affected shall have full access to the grievance and arbitration procedures established by Article 9 of this Agreement. If the matter is grieved and taken to arbitration, the arbitrator or arbitration board shall have jurisdiction to determine whether sabbatical leave shall be granted.

20.12 A professional librarian proceeding to sabbatical leave shall report to the University Librarian or designate all non trivial income for professional services of which receipt from sources other than York University is anticipated. Such income, to include salary, professional fees, and research stipends, together with the York University sabbatical salary, shall not exceed 100% of the librarian's normal professional income, plus reasonable research, travel, and associated expenses. Where such total is exceeded, the York sabbatical salary may be correspondingly reduced. Consistent with the foregoing, a sabbatical leave is not normally intended to allow an opportunity for a professional librarian to assume a full-time salaried position elsewhere.

A librarian wishing to do so will normally resign or make application for a leave of absence without pay. Individuals proceeding to sabbatical leave are encouraged to apply for external research assistance, and the University shall assist a librarian in the classification of a portion of his/her sabbatical salary as a research grant.

20.13 Sabbatical leave for librarians may be requested either for a period of six (6) months or a period of twelve (12) months. Salary support shall be as defined in Article 20.17.

20.14 A librarian on sabbatical leave remains a full-time employee of the University and is entitled to all usual fringe benefits. Librarians on sabbatical leave shall receive all salary increases on the same basis as other employees and shall be eligible for all discretionary increases.

Conditions Applicable to all Sabbatical Leaves

20.15 In order that the workload of other employees not be made excessive as a result of sabbatical leaves taken by their colleagues, or that sabbatical leaves not be unduly delayed, the Employer agrees to continue to make a reasonable effort to appoint replacements.

20.16 The parties agree that it would be most unusual, and except under very unusual circumstances (e.g., when the employee is approaching normal retirement, or as part of an agreed voluntary separation arrangement), improper, for an employee not to return to York University for at least one (1) year of service following a period of sabbatical leave.

20.17 Commencing July 1, 1991, sabbatical leave salary support shall be at the rate of:

A. Six Month Leaves

100% of academic base salary for six month leaves.

B. Twelve Month Leaves

(a) First Sabbaticals

For all employees who are taking their first sabbatical leave (i.e., first sabbatical leave from York or elsewhere), sabbatical salary shall be as follows:

(i) where the employee's salary in the year prior to the sabbatical year is at or below the average bargaining unit salary in that year, the sabbatical salary shall be at 100% of academic base salary;

(ii) where the employee's academic base salary in the year prior to the sabbatical year is above the average bargaining unit salary in that year, the sabbatical salary shall be at the greater of:

I. The rate of the average bargaining unit salary during the year before sabbatical year increased by the application of any general increments for the sabbatical year;

II. 80% of the employee's salary.

Note: For 1996-97, the average Bargaining Unit Salary is \$70,763.

(iii) The sabbatical salary level established in (i) or (ii) (above), shall be reduced by the amount of any external leave salary support.

(b) Second and Subsequent Sabbaticals

For second and subsequent sabbaticals, sabbatical salary support for twelve month leaves shall be 75% of academic base salary, PLUS additional supplementary salary support of up to 5% of academic base salary, on condition that the sum of:

Basic 75% sabbatical support

+

Any additional sabbatical salary support from external agencies or

York University Leave Fellowships;

+

Employer's supplementary support (maximum 5%)

does not exceed 100% of the employee's academic base salary. Any amount by which this total exceeds 100% shall be deducted from the Employer's supplementary support component.

20.18 An employee on sabbatical leave remains a full-time employee of the University, and is entitled to all usual fringe benefits and benefits which he/she would participate in if present in his/her academic unit, such as conference travel funds. Employees on sabbatical leave shall receive all salary increases on the same basis as other employees and shall be eligible for all discretionary increases.

For clarity, during sabbatical leave, benefits are affected as follows:

- (a) York Pension Plan contributions are based actual earnings (regular and sabbatical grant). Where a sabbatical is less than 100% of nominal salary, an employee may contribute, to the York Pension Plan, the difference between the contributions at the reduced sabbatical rate and those which would be required by the employee and the Employer at normal 100% salary.
- (b) Life Insurance and Long Term Disability coverage and deductions continue to be based on the employee's full regular base salary.
- (c) OHIP, Extended Health Care and Dental Plan coverage and deductions continue unaffected by a sabbatical leave.

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ARTICLE 21

Employment of Non-Members

21.01 The Employer agrees that non-members of the bargaining unit shall not perform the responsibilities of bargaining unit employees except as specified below:

- (a) Nothing herein shall prevent the teaching of courses or the performance of librarian responsibilities or the pursuit of research/scholarly/creative activities by those excluded from the bargaining unit as defined and agreed to by the parties in Appendix A, and who hold faculty or librarian rank, or by such others as may be agreed to by the parties from time to time.
- (b) Nothing herein shall prevent the performance of instructional duties by students registered in a programme in the Faculty of Graduate Studies of York University in accordance with the rules and

regulations of that Faculty, or by full-time non-faculty employees of the University as part of their full-time duties to a maximum of six (6) such full-time non-faculty employees. A current list of such employees shall be filed with YUFA upon the signing of this Agreement, and the currency of the list maintained.

(c) Subject to any agreements between the parties reached pursuant to clause 18.14 of this Agreement, nothing herein shall prevent the performance of instructional or professional librarian responsibilities by:

(i) part-time employees of the University;

(ii) persons employed full-time by the University, but not members of the bargaining unit, and appointed additionally to part-time instructional duties. The Employer shall maintain on file with the Association a current list of such persons.

(iii) persons employed full-time by the University, but not members of the bargaining unit and not covered by (a), above, appointed to regular instructional duties on an unpaid basis, to a maximum of three (3) persons.

The Employer shall maintain on file with the Association a current list of such persons.

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ARTICLE 22

Access to Employee Files

22.01 Documents and materials used by the Employer in the personal assessment of an employee, except for documents and materials prepared for and used in the process of consideration for promotion or the granting of tenure/continuing appointment, shall be placed in one of the employee's official personal files. Official personal files shall be kept only in the office of the employee's Faculty Dean/University Librarian, the Department of Human Resources, and the Office of the President. Normally only one (1) personal file will be kept in any one of the above offices. When more than one such file is held in an office, each file in that office shall carry a note indicating the existence of the other(s).

22.02 Employees shall have the right, during normal business hours and on reasonable notice in writing to the head of the office in question, to examine the file held in any of the offices in clause 22.01, subject to the following conditions:

(a) The employee, or his/her duly authorized representative, shall be allowed to examine his/her personal file only in the presence of a person designated by the head of the office in question. The employee shall not be permitted to remove the file or any part thereof from the office.

(b) Except as provided for in (c), below, the employee shall not have access to material submitted as confidential prior to November 29, 1976. Material relating to appointments may continue to be solicited and held as confidential. The file shall, however, include an inventory of the confidential portion of its

contents. The inventory shall not be confidential. It shall list confidential documents by date and general subject only, but shall not identify the author nor the substance of any confidential material.

(c) Following November 29, 1976, an employee shall have access to all documents and materials to be used by the Employer in making personal assessments of that employee, except for:

(i) documents and materials prepared for and used in the process of consideration for promotion or the granting of tenure/continuing appointment,

(ii) documents and material prepared for and used in the process of consideration for awards and grants, and

(iii) documents and material prepared for and used in the appointment to academic-administrative, or administrative, positions within the University, inside or outside the bargaining unit.

22.03 Unless specifically requested by the employee, no anonymous material other than aggregated statistical information recorded in student evaluations shall be kept concerning any employee. (The raw data [e.g., questionnaires] from which this aggregate statistical information has been developed must be kept until the employee has had the opportunity to confirm the accuracy of these statistical aggregates.) In any event no such material shall be used in any process covered by the terms of this Collective Agreement. If introduced, such evidence shall be sufficient in and of itself to invalidate the proceedings.

22.04 An employee shall have the right to have included in his/her file(s), his/her written comments on the accuracy or the meaning of any of the contents of the non-confidential portion of his/her file(s), and to add any relevant documents to the file(s).

Material contained in the non-confidential portion of an employee's file(s) may be removed from the file(s) only by the mutual agreement of the employee and the head of the office in question.

22.05 An employee may, on written request and at his/her own expense, obtain copies of that part of his/her file(s) open to him/her.

22.06 Except as specified in this Agreement, documents and materials used by the employer in the personal assessment of an employee, and the documents and materials prepared for and used in the process of consideration for promotion or the granting of tenure/continuing appointment of an employee, shall not be made available to third parties except in the performance of their duties under this Agreement and related University documents and policies, or except at the request of the employee.

22.07 The Employer shall be entitled to use in the course of its normal academic business data contained in the *curricula vitarum* of employees, subject to the employee's agreement as to those portions of his/her *curriculum vitae* which may be so used. Employees shall, at the request of the Dean/University Librarian or designate, update annually their *curricula vitarum*, which shall include a statement of current research interests.

The parties agree to establish an ad hoc Joint Committee which shall attempt to define a mutually agreeable format and procedure for the collection from faculty by the Associate Vice-President (Research) of periodic reports on current research activities.

The Joint Committee shall comprise two (2) representatives of the Association and two (2)

representatives of the Employer (one of whom shall be the Associate Vice-President of Research), and shall report to the parties within three (3) months of the ratification of this Agreement.

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ARTICLE 23

Patents and Copyrights

Patents

23.01 The parties agree to abide by the existing practices in respect of patent policy insofar as they relate to terms and conditions of employment. The payment of salary to employees and the provision of a normal academic environment in which to work shall not be construed as use of the University's funds or use of its facilities as regards patent matters.

Copyright

23.02 Notwithstanding S.13(3) of the Copyright Act, the parties agree that, the copyright to all forms of written, artistic, and recorded works (including, but not limited to, lecture courses and videos thereof, computer programmes, choreographic numbers, cartographic materials, bibliographic materials, and course materials, including correspondence course packages, course packages to be delivered on the Internet, multimedia instructional packages and interactive text books) shall be retained by the employee(s) responsible for the origination of the materials in whole or in part, pro-rated to reflect the contribution of the originator(s). The copyright in assessment, grading, reports or correspondence pursuant to the employee's normal administrative or professional duties with the University shall be retained by the employee, who shall be deemed to have granted the University a perpetual free license to use these materials in the course of its normal, non-commercial, institutional business. The employee(s) shall retain such copyright throughout his/her/their lifetime; upon his/her/their death all such rights shall devolve upon his/her/their estate(s). Such materials shall not be published, licensed, or released in any way, or amended, edited, cut, or in any way altered, without the written consent of the employee(s) holding the copyright. The holder(s) of the copyright shall have the complete rights to the proceeds of its exploitation, except as otherwise specified hereunder.

23.03 Notwithstanding Article 23.02, the employee may agree in writing to transfer copyright from the employee to the Employer for those works which are not produced as part of the individual's duties and responsibilities in the University (such as art work commissioned by the University to decorate the University, written materials or films that promote the University). At minimum, this agreement shall address any additional compensation to the employee arising from the commission, any shared distribution of the costs of production, and any shared distribution of any proceeds arising from exploitation of the copyright, shall be agreed in writing between the employee(s) and the Employer.

Work Originated or Developed with the Direct Support of the Employer

23.04 Where there are proceeds from the exploitation of the copyright of the academic works referred to

in Clause 23.02, other than scholarly text and/or articles, and where the production of the work is dependent upon a direct allocation of University funds, staff, equipment, or other resources (not to include the faculty member's salary with the provision of office space), the proceeds from the exploitation shall be divided between the employee(s) and the Employer, such that seventy-five (75) percent of the proceeds of exploitation shall be allotted to the Employer until such time as the costs of the Employer's direct support of the costs of production have been met. Thereafter, the right of proceeds of exploitation shall revert to the holder(s) of the copyright, unless otherwise agreed in writing between the employee(s) and the Employer. Employees exploiting any work that has been originated or developed with the direct support of the Employer shall so inform the Employer. The burden of establishing the amount of the costs incurred in the provision of such direct support shall lie on the Employer.

23.05 An employee may enter into an agreement with the Employer for the use or exploitation of copyrightable material produced by the employee on terms to be agreed between the employee and the Employer in writing (see 23.03 and 23.04).

23.06 Copies of any agreements between the Employer and employees pursuant to clauses 23.03, 23.04, or 23.05, above, shall be sent to the Association.

23.07 If after three (3) years, an author or originator deems instructional or bibliographic materials, of which the copyright has been assigned to the Employer, unsatisfactory for proposed use because of dating or any other academic or artistic reason, he/she shall have the right to review the work in question, and to amend it. If the work cannot be satisfactorily amended, the employee may withhold or withdraw it from use by the Employer.

23.08 An employee shall have the right to use copyrightable materials produced by him/her but owned by the University, if practicable. (The onus of establishing that it is not practicable shall rest with the Employer.)

23.09 An employee shall be given a copy of any of his/her work produced by the Employer, at no charge to the employee, if practicable. (The onus of establishing that it is not practicable shall rest with the Employer.)

23.10 Should the Employer wish to erase or otherwise destroy a work produced as in clause 23.03, either during or at the end of an agreement as specified in clause 23.03, the author or originator shall be given one (1) month's notice in writing of such intention and shall be permitted during that time to take either the original or a copy of all or a part of the work for his/her own use, and at a cost not exceeding the cost of the tape/film/recording or other medium upon which the work has been recorded.

23.11 The Employer shall inform the Association and the originators in writing of any agreements it enters into purporting to assign copyright materials of which it is the copyright holder produced or to be produced by an employee to any party except that employee.

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ARTICLE 24

Lay-off for Reason of Financial Necessity

24.01 The parties acknowledge their joint responsibilities to work together in maintaining the University in a financially sound position. The Employer recognizes that full-time faculty members and professional librarians constitute the University's major academic strength, and that it has a responsibility to take all reasonable measures to forestall and prevent financial circumstances that would require the lay-off of employees. Employees, in turn, have a responsibility to show reasonable flexibility in assisting the Employer to meet the changing needs of the University and its changing financial circumstances.

24.02 The Employer undertakes that lay-off of employees will occur only in the event of, and only to the extent required by, a *bona fide* case of financial necessity which, by its gravity and the likelihood of its long-term continuation, threatens the fulfilment of the University's academic purpose, and which can be alleviated only by lay-offs. Specifically, it is agreed by the parties that lay-offs for reason of financial necessity will not be proposed if the bargaining-unit salaries and fringe benefits budget, as defined in Appendix B, does not exceed 39.46% of the University's expenditures listed in Appendix B. A declaration of financial necessity and such lay-offs as may follow shall be subject to the procedures specified below in clauses 24.03 to 24.24 inclusive.

Declaration of Financial Necessity

24.03 These procedures shall be initiated by a report from the President to the Board of Governors, the Senate, and the Association, to the effect that a state of financial necessity requiring the lay-off of employees is impending.

Such a report shall be made by the President, only following consultation with the Joint Committee on the Administration of the Agreement and its Financial Information Subcommittee.

24.04 Until the decision is made by the Board of Governors concerning whether or not a declaration of financial necessity is to be made, and until this decision has been implemented (i.e., until all the procedures up to and including clause 24.17 have been carried out), the President shall not, from the date of his/her report as specified in clause 24.03, recommend any new appointments to the bargaining unit. Furthermore, during this specified time-period, the Employer agrees to inform the Joint Committee of any proposals for the establishment of additional Professional/Managerial or Senior Administrative Staff positions for either a short or a long term.

24.05 The Employer and the Association shall establish, within two (2) weeks of the President's report, an independent financial commission of three (3) members, of which the Chairperson shall be from outside the York University community. In the event that the parties cannot agree upon three (3) persons to serve on the commission, each party shall name one member, and the two (2) so named shall choose a third, from outside the York University community, who shall serve as Chairperson of the commission.

24.06 Within two (2) weeks of its establishment, the commission shall hold its first meeting to consider the extent to which the University's financial situation requires or will require the lay-off of employees. The commission shall complete its deliberations and report its findings to the Board of Governors within ninety (90) days of its first meeting.

24.07 The commission shall have access to any and all financial data deemed by it to be relevant to its study, and shall have the power to call for submissions from any individuals or groups it chooses.

24.08 The commission shall invite and consider submissions on the University's financial situation and possible remedies therefor from the President, the Senate, and the Association. It shall consider, *inter alia*,

- (a) whether all reasonable reductions have been made in areas of the University's expenditures other than bargaining-unit salaries, bearing in mind the primacy of the University's academic purpose;
- (b) whether maximum appropriate advantage has been taken of the reduction of salary commitments through normal attrition;
- (c) whether appropriate means of increasing University revenue have been adequately explored;
- (d) whether interim deficit-financing is a realistic avenue for the solution of the financial problems;
- (e) whether every effort has been made to secure further assistance from the Provincial Government;
- (f) any other matter it deems relevant to its study of the University's financial circumstances.

24.09 The commission shall report to the Board its findings as to whether the University's financial circumstances constitute a problem sufficiently grave that the University's academic well-being will be endangered unless bargaining-unit salary commitments are reduced, and, if so, shall recommend the amount of reduction in bargaining-unit salary commitments that would have to be effected for alleviation of the financial problem, if other means of alleviation cannot be found.

24.10 Following consideration of the commission's report, the Board of Governors may act to declare the necessity of lay-offs for reason of financial necessity, and shall indicate the amount of bargaining-unit salary reduction to be achieved by lay-offs, which amount shall not be greater than an amount that would reduce the bargaining-unit salaries and fringe benefits budget, as defined in Appendix B, below 39.46% of the reduced level of the University expenditures as listed in Appendix B.

24.11 The Board's declaration shall be made to the President, Senate, and Association. Upon receipt of the declaration, the Association and the Employer shall enter into negotiations to determine whether the lay-offs can be avoided by altering the terms and conditions of the Collective Agreement. The parties shall meet within one (1) week of the declaration of the Board, and their negotiations and ratification of any changes to the Agreement shall be concluded within thirty (30) days of the Board's declaration.

Order of Lay-off

24.12 The order of lay-off of employees shall be as detailed in clause 24.13, with the proviso that no Faculty or the Library shall have its bargaining-unit salary budget reduced by a percentage that is more than 1.25 times the percentage reduction in the University's total bargaining-unit salary budget.

A similar proviso shall apply to the bargaining-unit salary budgets of Departments within Faculties and, for the term of this Agreement only, the bargaining-unit salary budgets of the Alternate Stream subunits within Departments/Faculties, where such exist.

24.13 The order of lay-off of employees shall be as follows:

(a) contractually limited employees;

(b) probationary employees without tenure/continuing appointment;

(i) The order of lay-off of probationary employees without tenure/continuing appointment shall be determined in the first instance by the date of full-time appointment to York University, those most recently appointed being the first to be laid off.

(ii) When the date of full-time appointment to York University is the same for two (2) or more employees, the order of lay-off shall be determined by the date of first full-time academic appointment anywhere, those most recently appointed being the first to be laid off.

(iii) When the dates specified in (i) and (ii), above, are the same for two (2) or more employees, the order of lay-off shall be determined by the date of first degree or equivalent qualification, those with the most recent first degree or equivalent qualification being the first to be laid off.

(iv) When the dates specified in (i), (ii), and (iii), above, are the same for two (2) or more employees, the order of lay-off shall be determined by random selection.

(c) employees with tenure/continuing appointment;

The order of lay-off of employees with tenure/continuing appointment shall be determined in the first instance by the date of tenure/continuing appointment at York University, those most recently granted tenure/continuing appointment being the first to be laid off. Thereafter, the order of lay-off shall be determined by the criteria and procedures specified in (b), above.

(d) No employee with tenure/continuing appointment over the age of fifty (50) years shall be laid off for reason of financial necessity.

The parties agree that for purposes of calculating seniority, there shall be no difference between years of service in the bargaining unit and years of service in positions excluded from the bargaining unit, as per Appendix A, defining the bargaining unit.

24.14 Except as specified in clause 24.15 below, all funds available for appointments to the bargaining unit after existing commitments to employees who have not been laid off have been met shall be applied to the recall of laid-off employees until such time as all laid-off employees have been provided with an opportunity to exercise their recall rights as specified in clause 24.18.

24.15 The President may, at his/her discretion, recommend to the Board of Governors appointments, including new appointments, in those cases in which the bargaining-unit salary budget of a unit, through means in addition to lay-off, has been reduced by more than 1.25 times the percentage reduction of the bargaining unit's salary budget specified in the Board's declaration of financial necessity. In exercising his/her discretion in this instance, the President shall, *inter alia*, take into account the academic priorities of the University prior to the declaration of financial necessity, and long-term enrolment trends as these are relevant to the academic unit in question.

Each and every such appointment shall, in the first instance, be offered to the laid-off employee qualified in the relevant field, notwithstanding his/her order of lay-off. Should more than one laid-off employee be qualified, the order in which the appointment is offered shall be the reverse order of the employees'

lay-off. Should no laid-off employee be qualified, or should all qualified employees refuse the offer, the President may recommend a new appointment to the Board of Governors. Such appointments shall not increase the bargaining-unit salary budget of the affected unit above the amount to which such budget could be reduced if the maximum reduction as specified in clause 24.12 were applied.

Terms and Conditions of Lay-off

24.16 The President shall write to each employee designated for lay-off, indicating his/her intention to recommend to the Board of Governors that the employee be laid off, and stating that the lay-off is for reason of financial necessity alone. The President's letter shall be delivered to the employee by registered mail with receipted delivery, to reach such employee by 30 June, and shall serve as notice by the Employer of its intention to lay off the employee twelve (12) months hence effective 1 July of the next academic year (unless the Employer is providing salary in lieu of notice).

24.17 An employee who has been laid off for reason of financial necessity shall receive:

- (a) twelve (12) months' notice as specified in clause 24.16 above, or twelve (12) months' salary in lieu of notice, plus
- (b) one (1) month's salary for each year since the employee's appointment as a full-time faculty member or professional librarian at York University, to a maximum of twelve (12) months' salary, subject to the following proviso:

The financial settlement pursuant to the foregoing shall be paid automatically up to a maximum of six (6) months' salary in instalments of one month's salary per month following the date of lay-off.

The monthly salary shall be computed on the basis of the employee's monthly salary during his/her final year of employment. If the employee so chooses, the first six (6) months' salary shall be paid in a lump sum. Employees entitled to more than six (6) months' salary by virtue of their years of service shall receive the additional instalments to which they are entitled beginning in the (7) seventh month, only if they have not obtained alternative full-time employment.

24.18 Recall rights of laid-off employees shall be limited to a period of six (6) years from the date of their lay-off, as follows: For a period of three (3) years from the date of lay-off, employees shall be recalled in the reverse order of lay-off, except as specified in clause 24.15, above. For the fourth, fifth and sixth years, a laid-off employee shall have the right of first refusal of each and every available position in his/her field. Should more than one laid-off employee be eligible for recall in the same field, the order of recall shall be the reverse of the order of lay-off.

24.19 Employees to be recalled shall be notified by registered mail at their last known address. A laid-off employee shall be given two (2) months in which to decide whether he/she wishes to accept the recall, and shall be entitled to a reasonable period of time to fulfil other employment commitments before resuming his/her duties.

24.20 A recalled employee shall return to the seniority, tenure/continuing appointment status, and rank from which he/she was laid off. Years of service toward consideration for tenure/continuing appointment and toward sabbatical leave shall be as at time of the lay-off. The salary shall be the salary at time of lay-off, increased by any applicable across-the-board or standard increments awarded during the period of lay-off.

24.21 For the six (6) year period during which the employee is eligible for recall, he/she shall continue to have full access to library facilities on the same basis as on-site members of the employee's Department/Faculty and the Library. In addition, Departments/Faculties and the Library shall endeavour to maintain a full range of collegial contacts with laid-off employees, and to provide them with full access to computer and laboratory facilities, so that laid-off employees may maintain their professional skills; and laid-off employees shall endeavour to make use of same in order to keep up with on-going work in their fields. An employee returning after three (3) years or more of lay-off may be required to affirm that such expertise has been maintained, and to submit documentation in support thereof.

24.22 Any laid-off employee and his/her spouse and/or dependents eligible for tuition waiver at the time of lay-off shall continue to be so eligible during the period of lay-off.

24.23 A laid-off employee shall, until termination of laid-off status, be entitled but not required to maintain, at his/her own expense, membership in any or all of the University's benefit plans from time to time in force.

Laid-off employees shall also be entitled to participate in the University's Group Life Insurance coverage, and to maintain membership in the University Dental Plan on the same basis as on-site employees, until the termination of laid-off status. In addition, a laid-off employee shall be entitled to retain, until termination of laid-off status, a Guaranteed Housing Loan, provided that such loan has been negotiated prior to the declaration of the state of financial necessity by the Board of Governors.

24.24 Termination of laid-off status shall occur:

- (a) six (6) years following the date of lay-off, if the employee is not recalled;
- (b) when the employee is recalled;
- (c) when the employee indicates in writing to the Employer that he/she no longer wishes to retain his/her recall rights, or when the employee does not accept a recall.

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ARTICLE 25

Compensation

Salary Floors

25.01 The salary floors of the ranks shall be:

Rank	Effective May 1/92
Lecturer	35,810
Assistant Professor	42,650
Associate Professor	51,140
Professor	65,520
Assistant Lecturer	35,810
Associate Lecturer	42,650
Senior Lecturer	54,280

Effective July 1/95

Assistant Librarian	37,105
Associate Librarian	44,490
Senior Librarian	57,000

No one shall be paid beneath the floor of his/her rank.

No new Adjunct Librarian appointments made subsequent to October 10, 1985 shall be paid beneath the floor rate for Assistant Librarian.

Base Salary Adjustments

25.02 On the effective date, the previous year's base salaries for all employees who were employed on or before the eligibility date shall be increased by the base adjustments, except where Clause 25.05 is applicable, as follows:

Effective May 1, 1997:

Salary Adjustments Fund: The parties shall forthwith establish a joint committee to discuss and agree upon the distribution among employees of the Salary Adjustments Fund in the amount of \$2 million, prior to October 31, 1997, without prejudice to the right of either party to assert the distribution method preferred by it. If the parties are unable to agree on the distribution of these monies, the matter will be referred to Kevin Burkett as an arbitrator under the collective agreement for resolution.

Effective May 1, 1998:

Base salary increase of 1%.

Salary Adjustments Fund of .5% to be distributed in a manner consistent with the 1997/98 salary adjustment monies.

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Progress through the Ranks

25.03 The purpose of progress through the ranks is the recognition, on an annual basis, of an employee's academic/professional development and improvement. Embodied in the concept of progress through the ranks is the notion of a structured career development plan in which employees move steadily towards their retirement salary.

Progress through the ranks for each year of the Agreement shall be determined by the application of the following formula:

$$\frac{1.6 \times \text{Assistant Professor floor for the current year}}{37}$$

25.04 Subject to 25.05, on May 1 of each year, the previous year's academic base salary of all otherwise eligible probationary or tenured employees employed as of September 1 of the preceding year and all otherwise eligible contractually limited employees employed as of September 1 of the preceding year (with the exception of employees serving on a contractually limited basis in the current year pursuant to a negative tenure decision) shall be increased by the Progress through the Ranks Increment of Article 25.03.

For 1996-97, the Progress through the Ranks increment is \$1844. For 1997-98 and 1998-99, the Progress through the Ranks increment is \$1940.

Sequence and Eligibility 1996-99

25.05 (a) Employees in 1995/96, 1996/97, or 1997/98, or whose employment in the bargaining unit terminated on or before 30 June 1996, 30 June 1997, or 30 June 1998 shall not be eligible for increments under 25.02 or 25.04, except for:

(i) employees in 1995/96, retiring as of 1 July 1996, or whose employment terminated on or before 30 June 1996 but who subsequently have been reappointed to a position in the bargaining unit.

(ii) employees in 1996/97 retiring as of 1 July 1997, or whose employment terminated on or before 30 June 1997 but who subsequently have been reappointed to a position in the bargaining unit.

(iii) employees in 1997/98 retiring as of 1 July 1998, or whose employment terminated on or before 30 June 1998 but who subsequently have been reappointed to a position in the YUFA bargaining unit.

(b) Employees eligible for increments under 25.02 and 25.04 who receive promotions effective 1 July

1996, 1 July 1997, or 1 July 1998 shall receive increments as follows:

(i) Where promotion is effective 1 July 1996:

effective 1 May 1996, increments pursuant to 25.04.

Effective 1 July 1996, if the 1996-97 floor salary of the new rank exceeded the employee's 1996-97 academic base salary, the employee's base salary will be adjusted such that the impact of 25.04 is recalculated on the 1996-97 floor.

(ii) Where promotion is effective 1 July 1997:

effective 1 May 1997, increments pursuant to 25.02 and 25.04.

Effective 1 July 1997, if the 1997-98 floor salary of the new rank exceeded the employee's 1997-98 academic base salary, the employee's base salary will be adjusted such that the impact of 25.02 and 25.04 is recalculated on the 1997-98 floor.

(iii) Where promotion is effective 1 July 1998:

effective 1 May 1998, increments pursuant to 25.02 and 25.04.

Effective 1 July 1998, if the 1998-99 floor salary of the new rank exceeded the employee's 1998-99 academic base salary, the employee's base salary will be adjusted such that the impact of 25.02 and 25.04 is recalculated on the 1998-99 floor.

(c) (i) For employees moving from contractually limited status in 1995-96 to probationary or tenured/continuing appointment status in 1996-97, or who negotiated a new contract for 1996-97, the salary base as of 1 July 1996 shall be the higher of that agreed for 1996-97 or the 1995-96 base salary increased according to Articles 25.04 above, if applicable.

(ii) For employees moving from contractually limited status in 1996-97 to probationary or tenured/continuing appointment status in 1997-98, or who negotiated a new contract for 1997-98, the salary base as of 1 July 1997 shall be the higher of that agreed for 1997-98 or the 1996-97 base salary increased according to Articles 25.02 and 25.04 above, if applicable.

(iii) For employees moving from contractually limited status in 1997-98 to probationary or tenured/continuing appointment status in 1998-99, or who negotiated a new contract for 1998-99, the salary base as of 1 July 1998 shall be the higher of that agreed for 1998-99 or the 1997-98 base salary increased according to Articles 25.02 and 25.04 above, if applicable.

(d) Increments for employees continuing full-time past normal retirement age on a full-load or reduced load basis shall be governed by Article 14.05 (b) of this Agreement.

Pay Equity

25.06 (a) (i) The parties agree to provide \$650,000 for pay equity adjustments to the base salaries of women faculty. These monies would be distributed pursuant to the method outlined in Appendix E.

(ii) For women faculty who retired between 1 January 1990 to 30 June 1996, a lump sum one-time-only amount of \$2,700 per person will be credited to each person's generic research account, effective 1 July 1997, unless they apply for payment in cash before 30 June 1997.

(b) (i) The parties agree to the distribution of pay equity adjustments for professional librarians as outlined in Appendix E.

(ii) A review every three (3) years using the model employed in (b) (i) shall be executed, comparing the library pay line to the combined faculty pay line. If the librarian pay line is found to be below 87% of the combined faculty pay line, appropriate adjustments to librarian base salaries shall be made to raise the librarian pay line to at least 87% of the combined faculty pay line. If adjustments are required they would be retroactive to the effective date of change.

Starting salaries will reflect the model employed in (b) (i) and Appendix E.

(c) The parties further agree to post and sign a pay equity plan for professional librarians and faculty when the exercises outlined in (a), (b) (i), and Appendix E are complete.

Professional Expenses Allowance

25.07 In addition to other sources of support provided in the Collective Agreement or by University policy for the carrying out of an employee's professional responsibilities to the University under Article 11, an employee is entitled to a professional expense allowance in the amount of \$1025 for the periods of 1 May 1996 to 30 April 1997, 1 May 1997 to 30 April 1998, and 1 May 1998 to 30 April 1999.

The Employer shall reimburse employees, up to the maximum, through the mechanism of a minor research account, for eligible expenses submitted with appropriate documentation in accordance with guidelines to be circulated annually to all employees. All materials and equipment purchases shall be the property of the University.

The Employer is investigating other mechanisms by which employees will be reimbursed and Professional Expense fund distributed. Recommendations resulting from this review will be submitted to the JCOAA for its approval prior to implementation.

Overload Rates

25.08 Overload Rates (rates effective beginning in A/W session in 1992/93).

1992-93

Course Director \$8,316

Tutorial Leader \$2,772

College Courses \$3,443

YUFA overload Marker/Grader work shall be paid at prevailing CUPE 3903 Unit 2 rates (\$22.83 per hour for 1997/98).

Administrative Stipends

25.09 Stipends for the academic years commencing 1 July 1996, 1 July 1997, and 1 July 1998 shall continue at the level established by the administrative stipends adjustment process of 1990-91 plus 4.8%.

Administrative stipends shall not form part of the employees continuing base salary.

Additional Compensation

25.10 Subject to the provision set out in the Memorandum of Understanding attached hereto as Appendix C, the Employer shall not offer and an employee shall not receive any compensation in addition to the compensation provided for by the various clauses of this Agreement, with the following exceptions:

- (a) The Employer may offer, and an employee may receive, on initial appointment, a base salary greater than the floor of the rank at which the appointment is made.
- (b) The Employer may make funds available for the adjustment of anomalies and to take account of external marketability, subject to the provisions of Appendix C, and provided that the implementation of this Agreement, in all its parts, is not thereby affected.

25.11 Sabbatical leave support shall be as set out in Article 20.17 of this Agreement, except as otherwise agreed between an employee and the Employer.

Pension Contribution Holiday

25.12 (a) For 1996-97, the Employer agrees to provide YUFA with \$2.0 million as its share of the Employer's Pension Contribution Holiday, on the condition that YUFA's agreement to the taking of contribution holidays in 1996-97, 1997-98 and 1998-99 is without prejudice to YUFA's position that the Administration cannot amend the pension plan to give itself a contribution holiday without YUFA's consent, or to YUFA's grievance regarding the pension plan, or to the Administration's position that it has the right to do so.

(b) For 1997-98, and for 1998-99, the Employer agrees to provide YUFA with \$1.0 million in each of those years as its share of the Employer's Pension Contribution Holiday, provided that the actuaries and the pension trustees agree taking a pension contribution holiday in 1997-98 and 1998-99 will not negatively affect the pension plan, after appropriate certification by the actuaries and recommendation by the Board of Trustees, and subject to (a) above.

(c) Any lump sum payments are subject to deductions required by law.

25.13 Please see Appendix N on Merit Procedures from the 1989-90 Collective Agreement.

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ARTICLE 26

Employees' Benefits

26.01 The terms and levels of benefits in effect as of the signing of this Agreement are defined by OHIP legislation and relevant benefit plans. The Employer agrees to maintain those terms and levels except as they are modified by this Agreement. A statement of the terms and levels of the various benefits shall be provided by the Employer to the Association and shall be considered to be part of this Agreement. The Employer agrees that participation in Extended Health Benefits is not contingent upon participation in OHIP.

Pensions

26.02 The parties agree to continue the York Pension Plan in effect as of 30 April 1987, and further:

(i) **Actuarial Devaluation of Early Retirement Pension:**

The parties agree to amend York Pension Plan Section 7.03(b) as follows:

CHANGE: "...then adjusted to the Actuarial Equivalent based on the Member's actual age on the date the pension commences..." **TO:** "...then reduced by 0.25% for each month by which the date of retirement precedes normal pensionable age, up to sixty months, and 0.5% for each month by which the date of retirement precedes normal pensionable age in excess of sixty months...", and **ADD:** "There shall be no reduction in supplementary pension for employees who retire on the first day of any month coincident with or following the attainment of age 65."

AND Effective January 1, 1987:

(ii) **Pension Benefit Adjustments:**

(a) The parties agree that pension payments for persons who terminated employment prior to July 1, 1971, shall be increased to reflect a full sharing of trust fund earnings.

(b) The parties agree that pension payments to pensioners who retired prior to July 4, 1984 shall be increased by \$40.00 per month and pension payments to pensioners who retired between July 1, 1984 and June 30, 1985 shall be increased by \$20.00 per month.

(iii) It is agreed that the members of the Plan are free to transfer retirement entitlement to a locked in R.R.S.P.

(iv) Copy of York Pension Plan:

It is agreed that an updated copy of the York Pension Plan shall be prepared and distributed to all employees as soon as possible, following the approval of any amendments to the Plan arising out of this Agreement.

(v) The Administration agrees to recommend to the Board of Governors:

(a) that \$4,000,000 of the surplus in the York Pension Fund be directed to the improvement of

pensions/projected pensions of:

(i) current pensioners, and members of the York Pension Plan who will reach normal pensionable age up to and including July 1, 1993, and whose minimum guarantee pensions, actual or projected, are or will be significantly below the norm of the minimum guarantee pensions of other York Pension Plan pensioners or prospective pensioners who were/are members of the same employee group with similar periods of credited service under the Plan;

(ii) current pensioners and active members of the York Pension Plan who will reach normal pensionable age up to and including July 1, 1993, and whose minimum guarantee pensions represent a percentage of their final earnings anomalously low in the context of the York Pension Plan.

(b) that the actuaries to the York Pension Plan be commissioned to develop optional approaches, with cost implications, for improving the pensions of the members of the categories set out in (a)(i) and (ii), above, within the total of funds designated for the purpose.

(c) that the Board receive and consider the recommendations of the All University Committee on the actuaries' report in making its decisions as to the manner of distribution of the funds.

(d) that the Board eliminate the 2.5% reduction if a spouse is more than ten (10) years younger.

(e) that the Board increase the children's benefit from \$200 to \$300 for contract year 1991/92.

26.03 The Employer agrees to continue an All-University Pension Committee representing the different groups of participants in the York Pension Plan (including pensioners and the Board of Trustees of the York Pension Plan) to discuss changes to the York Pension Plan and report back periodically to their constituencies.

The parties agree to investigate, through the All University Pension Committee, a means for the Pension Fund Trustees to divest the York Pension Plan of all investment in companies identified as having investment in the Republic of South Africa.

26.04 As per Article 14.01 (e), the parties agree to establish a joint committee to study pension plan and retirement provisions.

The parties further agree to recommend to the Board of Governors that YUFA representation on the Pension Board of Trustees be increased by one to three (3).

Insurance

Employer Health Tax

26.05 The Employer shall continue to pay Employer Health Tax premiums.

Basic Benefits Program

The Employer agrees to maintain a basic program of benefits at the current levels as outlined below. The

level of benefits may be improved from time to time by the Supplemental Benefits Plan.

Dental Plan

26.06 All employees participating in the University's Dental Plan in force as of the signing of this Agreement or who may join the Plan at Plan openings in the future, or new employees who may elect to participate in the Plan, and their dependents, shall continue to be covered by a Dental Plan equivalent to the Plan in force at time of signing, updated to incorporate the current O.D.A. Schedule of Fees;

The Employer shall contribute to the premiums therefore an amount equal to 100% of the premium cost for participating employees. Effective August 1, 1989 dental plan coverage shall include coverage for caps, crowns, and fixed bridgework at 70% of the current O.D.A. Schedule of Fees, and increase maxima on major restorative and orthodontia to \$2,300, effective August 1, 1989, and to \$2,400 effective May 1, 1990.

Group Life Insurance

26.07 The Employer shall continue to pay 100% of the premiums of the University's Group Life Insurance, as currently in force.

Extended Health Benefits

26.08 The Employer shall continue to pay 100% of the premiums on this programme, which provides for private room coverage and includes reimbursement for 100% of drug costs in excess of the established deductible level.

Vision Care

The Employer agrees to maintain vision care at its current level of \$225.00 over the period of the agreement, with a \$25.00 deductible, for employees only, but with an option to purchase insurance coverage for dependents (including spouse) at 100% cost to the employee. Effective August 1, 1989.

Supplemental Benefits Fund

The Employer shall provide an annual supplemental benefits fund for improvements and additions to the Basic Benefits Program, as agreed to by the parties from time to time. It is the Employer's view that the total amount of this fund is \$300,000; the Association's view is that this fund is \$320,000.

The Joint Subcommittee on Benefits will carefully monitor the available balance in the YUFA Supplemental Benefits Fund against the projected and actual expenditures charged to the Fund. Should expenditures significantly exceed the available funds, the Subcommittee will meet to discuss how the benefits paid out of the Fund can be adjusted to keep the expenditures within the available funds. Sufficient advance notice will be provided to YUFA members should any changes in coverage be required.

Liability Insurance

26.09 The Employer shall maintain its Liability Insurance at least at the level currently in force.

Long-Term Disability Insurance

26.10 The Employer shall maintain its existing Long-Term Disability salary continuance insurance. The parties agree to pursue the feasibility of improving this programme through the addition of provisions to defray the costs of inflation currently borne by persons receiving payments under the Plan. The Employer agrees to arrange additional coverage with London Life at the Association's request and cost. (See also Appendix D.)

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York University Guaranteed Housing Loan Plan

26.11 The Employer shall continue the York University Guaranteed Housing Loan Plan, on the basis current as at the date of signing of this Agreement:

- (a) the employee's base salary ceiling for eligibility for interest rate subsidy shall be \$53,250.
- (b) Subject to the approval of the banks participating in the Guaranteed Housing Loan Plan, the maximum loan available to participants in the plan shall be \$130,000.

Free Tuition

26.12 All employees shall continue to be entitled to free tuition at the domestic tuition rate for themselves, their spouses, and their dependents for degree credit courses offered by York University.

"*Spouse*" is defined as a husband or wife either legally married or at common-law of at least one year's duration. "*Dependent*" is defined as any person: claimed as a dependent for income tax purposes by the employee or the employee's spouse; eligible to be claimed as a dependent for York University Benefit Plan purposes; or who meets either of the above criteria as a ward of the employee as specified by the courts.

Where a child of an employee was dependent at the time of the employee's death or retirement, that child is eligible for tuition waiver provided that the child commences and continues in a degree programme at York University prior to attaining twenty-one (21) years of age. The spouse of an employee at the time of that employee's death or retirement is eligible for tuition waiver unless the spouse remarries or becomes the common-law spouse of another.

Reciprocal Tuition

26.13 The parties agree to explore bilaterally with other Ontario universities the possibility of reciprocal tuition waiver for dependents of employees, and to report to JCOAA on the progress of those explorations. The Administration agrees to commit \$4,500 in a reciprocal tuition venture with Carleton University to allow for three students per year for four years.

The Administration agrees to a reciprocal tuition venture with Simon Fraser University.

Childcare

26.14 The Employer agrees to maintain its support for the York University Cooperative Daycare Centre according to the terms of the attached Memorandum of Understanding (Appendix G).

The Administration further agrees to continue its collaborative efforts to define campus child care needs and to establish improved child care facilities at York University, including a determination of an appropriate level of university financial support for such facilities over and above that defined in Appendix G.

Moving Expenses

26.15 The Employer agrees to continue its existing policy with respect to moving expenses, with the exception that all *bona fide* visiting faculty members (i.e., visiting from an appointment at another educational institution) shall be reimbursed at the rate established for Full Professors under the policy, regardless of their rank while visiting at York.

Joint Subcommittee on Benefits

26.16 The Employer and the Association agree to establish a Joint Subcommittee on Benefits (see Article 7.09).

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ARTICLE 27

Rights and Privileges of the Association

27.01 The Employer agrees to provide the Association, free of charge, with the use of suitable serviced office space, with telephone line, the telephone charges to be borne by the Association. The Association shall have the use of the internal University postal service for Association business. External mailing costs of the Association shall be borne by the Association. The Employer shall allow the Association to use the University duplicating services, computing facilities, word processing equipment, and audiovisual equipment on the same basis and at the same rates established by the Employer for University users. The Employer shall provide the Association with suitable meeting rooms as required, free of charge, on the same basis as other voluntary associations within the University. Intercampus travel by YUFA representatives to attend meetings of the Joint Committee on Administration of the Agreement or its Subcommittees, and the Joint Grievance Committee, shall be reimbursed under the terms of Article 18.05.

27.02 The Employer agrees to arrange a courtesy account for the use of the Association. Charges incurred by the Association shall be debited to this account, and the Association agrees to abide by the accounting procedures laid down by the Employer and, at the request of the Employer, to pay interest on any outstanding overdrafts on the courtesy account, at the rate of interest being paid by the University at that time on its own borrowing.

27.03 The Employer agrees to act as paymaster on behalf of the Association in respect of employees of the Association, and shall pay permanent Association employees, shall deduct income tax, Canada

Pension Plan, and Unemployment Insurance Commission payments, and shall issue T-4 slips, charging the amounts back to the Association courtesy account monthly. Such employees shall enjoy normal access to University facilities, parking, identification cards, etc., but are not employees of the University, and will not participate in the benefits, the personnel policies, or the bargaining units of University employees for the duration of this Agreement.

Teaching or Research Time Relief for Service to the Association

27.04 (a) The Association undertakes that its officers and members shall organize their activities on behalf of the Association in such a manner as not to interfere with the normal performance of their teaching, professional, and other duties. The Employer agrees that service to the Association by its members is legitimately included within the definition of "service to the University" for purposes of assessing an employee's workload and evaluating his/her performance. The Employer further undertakes that, commencing in 1992-93, a reduction in normal teaching or professional load of up to a total of four (4) full-year courses or equivalent (with the equivalent of one full-year course for librarians being seven (7) hours per week for purposes of this clause only) may be distributed among officers and/or representatives of the Association, the exact division to be decided by the Association. In addition, each of the two Association nominees to the Joint Grievance Committee shall be entitled to receive teaching/professional load relief of one-third of a normal load for the term of their service on the committee.

The Association shall indicate to the Employer by 1 May 1996 the names of the individuals designated to receive such course relief for the above purposes in 1996-97, by 1 May 1997 for 1997-98, and by 1 May 1998 for 1998-99.

(b) The Association shall be further entitled to purchase a course-load reduction in the normal teaching load of the Chairperson or designated representative of the Association, to a maximum of ten (10) full-course equivalents, and at a rate equal to the higher of the Association Course Director overload rate or the CUPE 3903 Unit Two (2) Course Director rate, plus applicable fringe benefit costs, for the period during which the reduction is taken. The Association shall inform the Employer as to its wishes in respect of this Article by 1 July 1992 in order for its entitlement to be valid.

(c) The Employer undertakes to provide funds when necessary for the replacement of the teaching load of individuals designated in paragraph (a), above, the funds to be made available to the home Faculties of those individuals. The Dean and the individual's Chairperson, where applicable, shall consult as to the question of a replacement.

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ARTICLE 28

Amalgamation, Consolidation, Merger, or Expansion of the University

28.01 In the event of an amalgamation, consolidation, or merger of York University or any of its constituent units or subunits with any other institution(s), the provision of Section 55 of The Ontario

Labour Relations Act, as amended from time to time, shall apply.

28.02 In the event of an expansion or extension of the University through the creation of Colleges, Schools, or any other academic units or subunits offering academic programmes, or the offering of courses at locations other than the main or the Glendon campus of the University, the employees eligible for membership in the bargaining unit in such Colleges, Schools, or other academic units or subunits, or offering courses at other locations shall immediately become members of the bargaining unit, to whom the provisions of this Agreement shall apply.

28.03 The terms and conditions of this Agreement shall, during the life of the Agreement, be binding upon heirs, successors, transferees, or assignees of the Board or of the Association.

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ARTICLE 29

Amendments to The York University Act

29.01 In the event of any formal proposal(s) being presented to the Board of Governors for revision to The York University Act, the Employer undertakes to provide the Association with a copy of such proposal(s) and to allow the Association an opportunity to make representations to the Board thereon, prior to the Board taking any action on such proposal(s).

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ARTICLE 30

Copies of the Agreement

30.01 The Employer agrees to prepare and provide to each employee a copy of this Agreement, including those appendices which the parties agree should be distributed, and further, to provide to the Association an additional three hundred (300) copies for its own use, within sixty (60) days after the signing of this Agreement. The costs of this initial preparation and distribution of copies of the Agreement shall be shared equally by the Employer and the Association. Routine distribution of copies to new employees thereafter shall be at the expense of the Employer.

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ARTICLE 31

Correspondence

31.01 All correspondence between the Association and the Employer arising out of this Agreement or incidental thereto shall pass between the President of the University or his/her designate and the Chairperson of the York University Faculty Association. Where written notice is specified in this Agreement, the University internal mail will be deemed adequate means. Where receipted delivery is specified, the receipted delivery services of the internal mail service may be used. The addresses of the parties shall be as follows:

(a) Vice-President (Academic Affairs), Room S939, Ross Building, York University.

(b) The Chairperson, York University Faculty Association, 104 Scholars Walk, Room 241, York University.

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ARTICLE 32

Term of Agreement

Duration

32.01 This Agreement shall be binding on both parties and shall be deemed to commence and remain in effect from 1 May 1996 to 30 April 1999. Nonmonetary matters shall be effective as of the date of signing of this Agreement. Monetary matters shall be effective as of the dates set out in the relative Articles and memoranda of understanding.

This Agreement shall automatically renew itself for periods of one year unless either party notifies the other in writing within the period of ninety (90) days prior to any expiry date that it desires to amend or terminate this Agreement.

32.02 In the event of notice being given requesting negotiations to amend the Agreement as per clause 32.01, the negotiations shall commence within fifteen (15) days following receipt of such notification and thereafter both parties shall negotiate in good faith.

32.03 Both parties shall adhere to the terms of this Agreement during negotiations. If, pursuant to such negotiations, agreement is not reached on the renewal or amendment of this Agreement, or on the making of a new Agreement prior to the current expiry date, this Agreement shall continue in full force and effect until a new Agreement is signed between the parties or until all conciliation proceedings prescribed under the Ontario Labour Relations Act have been completed, and the parties are in a position lawfully to strike and/or lockout, whichever date should first occur.

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APPENDIX A

to the Collective Agreement between YORK UNIVERSITY and the YORK UNIVERSITY FACULTY ASSOCIATION, 1 May 1992 to 30 April 1993.

A. York University and the York University Faculty Association agree to the following unit appropriate for collective bargaining.

All persons holding appointments as full-time faculty members or full-time librarians employed by York University, save and except:

(1) President,

(2) Deans (except the Dean of Students at Glendon College),

(3) Associate Deans,

(4) Directors* of Research Centres or Institutes,

(*Directors may remain in the bargaining unit if they so choose.)

(5) Senior academic administrator responsible for Office of Research Administration,

(6) Director of York International

(7) Director of Research and Executive Development (Schulich School of Business),

(8) Faculty members on the Board of Governors,

(9) Faculty members employed at York University while on leave from other universities or educational institutions,

(10) University Librarian,

(11) Law librarian,

(12) Two (2) professional librarians to be designated by York University.

(13) Provost

(14) Secondees Faculty of Education

B. The York University Faculty Association and York University further agree that:

1. The number of Associate Deans excluded from the unit shall not exceed two (2) per Faculty, (except in the Faculty of Arts, where the number shall not exceed three (3), unless otherwise agreed between the parties.

2. The University is at liberty to exclude from the unit, upon their appointment, an Academic Vice-President and up to three (3) academic assistants in the Office of the President at any one time.

3. The Research Centres and Institutes referred to in (4), above, are, as at 1 May 1997:

- Institute for Social Research,
- Centre for Feminist Research
- Centre for Atmospheric Chemistry (CAC)
- Centre for International and Strategic Studies (CISS)
- Centre for Refugee Studies
- Centre for Research on Earth and Space Science (CRESS)
- Centre for Research on Latin America and the Caribbean (CERLAC)
- Centre for Research on Public Law and Public Policy
- Centre for the Study of Computers in Education
- Centre for Jewish Studies
- Centre for Vision Research
- LaMarsh Research Program on Violence and Conflict Resolution
- Joint Centre for Asia Pacific Studies
- Centre for Research on Work and Society
- Robarts Centre for Canadian Studies
- York Centre for Health Studies
- Centre for Practical Ethics
- Centre for Applied Sustainability
- Centre for the Study of Organized Crime and Corruption
- Office of the Associate Vice-President (Research)
- Office of Research Administration

4. The unit does not include Post-Doctoral Fellows, Research Associates, or persons appointed to the

Centre for Continuing Education, unless they are full-time members of faculty.

5. The bargaining unit includes:

(a) persons holding appointments as full-time faculty members:

(i) at the rank of Instructor,

(ii) in the Department of Physical Education,

(iii) in the Writing Workshop,

(iv) serving terminal appointments,

(v) in the contractually limited classification other than in A (9), above,

(vi) serving as Masters or Senior Tutors/Academic Advisers of Colleges,

(vii) serving as Chairpersons of Departments or Divisions, save and except any such persons excluded under the terms of A (1) - A (13), above;

(b) part-time professional librarians appointed on a continuing basis for 50% or greater F. T. E. ;

(c) "administrative" faculty members as defined in C, below;

(d) SSHRC Canada Research Fellows appointed to York University.

6. (a) The number of faculty members in A (9), excepting Secondees in the Faculty of Education, shall not exceed twelve (12) without agreement between the parties.

(b) The number of Secondees in A (14) in the Faculty of Education shall not exceed 30.

7. All full-time faculty members serving in administrative positions excluded from the bargaining unit will rejoin the bargaining unit upon completion of their terms.

C. The parties agree that the "administrative" faculty member specified in B 5 (c), above, is, at May 1, 1996, Femida Handy. The parties further agree that this employee does not hold appointment in the full-time faculty stream, that her appointment may be terminated at the discretion of the Employer upon reasonable notice of no less than twelve (12) months, and that her employment as faculty members is governed by the following Articles:

--- Article 3

--- Article 4.01

--- Article 9

--- Article 10

--- Article 11

--- Article 18.01, 18.02, 18.03, 18.04, 18.05, 18.10, 18.17, 18.25, 18.26, 18.27, 18.33, 18.35,

--- Article 19.01, 19.02, 19.03, 19.04, 19.05, 19.07, 19.08, 19.09, 19.10, 19.11, 19.14, 19.16

--- Article 22

--- Article 27. 04

--- Articles 25 and 26

D. The parties agree that the SSHRC Canada Research Fellow, appointed to York University do not hold appointments in the full-time faculty streams, that their appointments are subject to the terms of the SSHRC Canada Research Fellowships, and that their employment as members of the YUFA bargaining unit is governed by the following Articles:

1; 2; 3; 5; 6; 7; 8; 9; 10; 11; 15; 16; 17; 18. 01; 18. 02; 18. 33 (Working Environment); 18. 35 (Fines and Charges); 18. 36; 19. 01; 19. 02; 19. 05; 19. 07; 19. 14; 22 and 23.

E. 1. For purposes of identification, SSHRC Canada Research Fellows shall normally be designated as Assistant Professor (Canada Research Fellow) or Assistant Professor and Canada Research Fellow.

2. Individuals who have been Canada Research Fellows and who are subsequently appointed to a tenure stream position shall receive credit towards sabbatical, calculated at 1/2 of a year of York service for each year in which the Fellowship is held at York.

3. Individuals who are Canada Research Fellows, Undergraduate Research Fellows (URFs) and Natural Sciences and Engineering Research Council (NSERC) Women's Faculty Award Holder's shall be guaranteed a place on the short-list and an interview for full-time position tenure track positions of CLA provided that s/he applies and holds *prima facie* qualifications for the position for the next three (3) years.

4. A list of all Canada Research Fellows, URFs and NSERC Women's Faculty Award holders along with curriculum vitae will be circulated among all Faculties/ Departments/Divisions/Academic Units by 31 August 1992, accompanied by a letter from the Vice-President (Academic) and the AVP (Research) recommending that units and faculties explore the possibilities of maximizing the qualifications of multidisciplinary Canada Research Fellows, URFs and NSERC Women's Faculty Award holders and the benefits to units through cross-appointments or other cooperative arrangements.

5. Parties agree that the Administration explore other initiatives which would assist Canada Research Fellows, URFs and NSERC Women's Faculty Award holders in securing full-time positions at other institutions.

F. The parties agree that in the matter of workload of secondees and the appointments processes for secondees existing practices will maintain until April 30 1993 or until the mutual agreement of the Parties on these matters.

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APPENDIX B

to the Collective Agreement between YORK UNIVERSITY and the YORK UNIVERSITY FACULTY ASSOCIATION, 1 May 1992 to 30 April 1993.

Lay-off for Reason of Financial Necessity**(Article 24)**

The percentage figure of 39.46%, for insertion in the appropriate clauses of Lay-off for Reason of Financial Necessity was arrived at as follows: (\$000)

A. 1975-76 Total Adjusted Net Expense

(as per final audited statement) \$57,489

Less:

Municipal Taxes 600

External Cost recoveries 1,347

1974-75 carryover re ord. operating budget 401

Endowed scholarships and bursaries 243

Lakeshore Teachers' College expenses 228

TOTAL 2,819 2,819

Total 1975-76 Expenses for this calculation \$54,670

B. Code 15

by closing Cross-Tab Actuals 18,011,528

Less ECR's (47,500)

New 15 Account 17,964,028

10% Fringe 1,796,402

TOTAL 19,760,430

Code 25

by closing Cross-Tab Actuals 1,834,503

Fringe 183,450

TOTAL 2,017,953

Total 15 + 25 including Fringe less ECR's 21,778,383

Less 43 exclusions (1,252,900)

plus sabbatical adjusted to 100% 504,000

plus Librarians in YUFA 544,500

\$21,573,983

C. 21,574 = 39.46%

54,670

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APPENDIX C

to the Collective Agreement between YORK UNIVERSITY and the YORK UNIVERSITY FACULTY ASSOCIATION, 1 May 1992 to 30 April 1993.

Memorandum of Understanding Concerning Exceptions

1. The parties agree that any member of the bargaining unit whose formal terms of appointment in respect of salary or entitlement to leave are contrary to the provisions of Articles 19, 20, or 25 shall be treated according to those terms of appointment, if the employee so desires.
2. The parties agree that the Employer may, at its discretion, award additional years accredited toward entitlement to sabbatical leave to individual employees in recognition of their service as academic-administrators in the bargaining unit, or for service to the University in non-bargaining unit capacities. In exceptional cases, an increased level of sabbatical salary support may be used as an alternative to the award of years accredited toward entitlement to sabbatical leave.
3. The parties agree that where members of the bargaining unit who have served in academic-administrative positions excluded from the unit have entered into an agreement with the Employer with respect to salaries, leaves, or special duties to be effective upon their return to the bargaining unit, the terms of any such agreement shall supersede the relevant terms of this Agreement.
4. The parties agree that the Employer may, at its discretion, make additional adjustments to the salaries

of individual employees, to a cumulative total of market/anomalies increments of:

1990-91: \$150,666, plus fringe benefits

1991-92: \$157,898, plus fringe benefits

The final number and amounts of such adjustments to individual salaries shall be reported to the Association by the Employer.

5. The Employer undertakes to apply the provisions of this Agreement to the Chairperson and the Alternate Chairperson of the Joint Grievance Committee.

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APPENDIX D

MEMORANDUM OF UNDERSTANDING RE

LONG-TERM DISABILITY INSURANCE

1. With respect to the Long-Term Disability Insurance coverage specified under Article 26.09 of this Agreement, the Employer agrees, effective November 1, 1985, to maintain a nominal or "shadow" salary for employees receiving Long Term Disability benefits, and to make such additional contributions to the York Pension Plan in respect of that employee as are needed to bring the contributions to the Pension Plan to the level of the contributions required of the Employer and the employee for a salary at the level of the employee's "shadow salary". At retirement, Final Average Earnings shall be based upon the annual "shadow" salaries thus established, and the employee shall be credited for Pension Plan purposes with a full year of service for each year for which Pension Plan contributions are made on the basis of this full "shadow" salary.

Should these provisions require amendment of the York Pension Plan the administration agrees to recommend to the Board of Governors that the necessary amendments be made and submitted as required to the appropriate regulatory agencies for approval.

2. An employee receiving Disability benefits under the terms of the Constellation Life Long Term Salary Continuance Plan, whose disability payments will end at age 65, shall be paid a monthly payment by the Employer equal to the amount of his/her monthly payment from the LTSCP at the time of its termination, for that period of months until he/she reaches normal pensionable age and becomes eligible to receive a pension from the York Pension Plan.

3. In 1., above, "shadow" or "nominal" salary shall mean the academic base salary of the employee at the time of proceeding to Long-Term Disability, increased annually in accordance with any base adjustments, Career Progress Increments, or other across-the-board increments agreed upon between the Employer and the Association in their periodic contract negotiations, to a maximum of the increase in the Consumer Price Index, calculated as per Appendix F of this Agreement, for the contract period in question. The

maintenance of a "shadow" salary in this manner shall be solely for the purposes of pension calculation for persons who spend periods of time receiving payments from the Long-Term Disability coverage, and carries no implication for those other clauses of the Collective Agreement which deal with the matter of determining academic base salary for individuals on various other kinds of leaves.

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APPENDIX E

Pay Equity

Faculty Pay Equity

I For active women faculty employees as of 1 July 1996, the parties agree to distribute \$650,000 in base monies for faculty pay equity adjustments as per 25.06 (a) (i) pursuant to the following method:

(a) Identify women eligible for compensation as those whose pay, on 1 July 1995 was

(i) \$2500 or more below the male line, regressing pay only on years since first full-time teaching appointment and a variable to identify Alternate Stream faculty; or

(ii) \$2500 or more below the male line, regressing pay only on age and a variable to identify Alternate Stream faculty; or

(iii) \$2500 below the male line in (a), above, when relevant previous experience is credited.

(b) To identify women who might be eligible in (a)(iii) above, information on potentially relevant previous experience is to be obtained by means of telephone interviews conducted under contract by the Institute for Social Research, as included in the agreed-upon questionnaire, including:

(i) part- or full-time teaching in educational institutions of various levels. Only for members of the Faculty of Education will elementary and high school teaching be considered relevant;

(ii) research work;

(iii) employment in business or profession;

(iv) professional creative activity;

(v) other work experience relevant to the present academic position.

Different information will be collected for: faculty with a graduate degree; faculty with an undergraduate degree but no graduate degree; and faculty without a university degree. The parties will agree on what constitutes relevant experience in the above.

(c) In allocating the total amount of compensation to individual women, the parties affirm the principle that the proportion of the anomaly to be compensated will increase for larger anomalies.

(d) Measures to prevent recurrence of gender anomalies to be settled.

If the parties are unable to agree on the distribution of these monies, the matter will be referred to Kevin Burkett as an arbitrator under the collective agreement for resolution.

Librarian Pay Equity

II The parties hereby agree as per 25.06 (b) (i) to the following:

(a) An adjustment to base to "straighten the line" to 87% of the faculty line. Such adjustments shall be retroactive to January 1990. Pensions and early retirement sums for librarians who have retired between January 1990 and the date of settlement will be adjusted to reflect an appropriate increase. Pro-rated adjustments will be paid to librarians who have not been members of the bargaining unit continuously since January 1990.

Salaries for professional librarians currently in the bargaining unit will be reviewed and readjusted if required after the faculty pay equity adjustments have been made.

(b) Librarians who are currently in the bargaining unit and who have one or more graduate degrees in addition to professional librarian degree, shall receive a \$1,000 base adjustment. These base adjustments are to be applied after adjustments in (1) have been made.

After these adjustments have been applied, Librarians whose salaries remain below 85% of the faculty pay line will receive a base adjustment to raise their salary to 85% of the faculty pay line. The base adjustments in (2) shall be effective January 1, 1996.

(c) Effective July 1, 1995 salary floors for librarians shall be increased to 87% of the equivalent faculty floor.

Assistant Librarian \$37,105

Associate Librarian \$44,490

Senior Librarian \$57,000

(d) The Employer shall make all reasonable effort to provide retroactive payments on or before February 26, 1996. The parties agree to explore alternative means of providing the retroactive monies owing in order to minimize the tax burden.

Dated this 14th day of December, 1995 at the City of North York in Ontario.

The York University Faculty Association York University

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APPENDIX F

Retired Employees' Benefit Coverage

Dear Professor XXXX:

We are pleased to provide you with the various benefit options available to you effective October 1, 1997. To finalize your retirement plans, you must confirm the accuracy of the information provided in this package by completing the enclosed RETIREMENT ELECTION FORM and return it to our office.

Please return a signed copy of the enclosed OPTION SELECTION FORM with your selection indicated. We have also enclosed a PERSONAL TAX RETURN CREDIT FORM (TD1) to be completed and returned to our office so that your tax exemption may be recorded.

We can advise the Canada Trust Company to send your payments to your home address or, you may take advantage of their automatic deposit system for your monthly pension benefits by returning a completed TRANSFER OF FUNDS FORM to our office. Canada Trust will confirm the deposit date of your first payment.

Before any pension benefits can be released proof of age for you and your spouse is required. Please forward a copy of your birth certificates or, if this is not readily available, a Certificate of Baptism or Citizenship papers. Please include your spouse's Social Insurance Number.

After retirement, your York University pension benefits will be adjusted annually. Pension benefit adjustments are based upon the average rate of return of the fund for the previous four years, less 6%. However, should any four-year average fall below 6%, your pension benefit will not be reduced.

The University has established a post-retirement benefits programme for retired employees who were members of the York University Faculty Association. This programme consists of Extended Health Care and Dental Plan coverage. A brochure outlining the details of coverage under both the Extended Health and Dental Care Plans is enclosed. Please note that your monthly cost to subscribe to the programme is \$18.00 for single coverage and \$34.00 for family coverage.

To ensure that your decision regarding the Extended Health and Dental Care Plans is recorded, we ask that you complete the attached ENROLMENT PARTICIPATION FORM. Completion of the attached PAYMENT OF PREMIUMS FORM is also required if you choose to subscribe.

A letter confirming your selections for the funds in the York University Pension Plan will be forthcoming after we are in receipt of all required items. In addition, confirmation of your Post Retirement Benefit selections will be included.

If you have any questions or require further information, please do not hesitate to contact us at (416) 736-2100 extension 40181.

Sincerely,

Pension and Benefits Counsellor

Department of Human Resources

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APPENDIX G

Memorandum of the Agreement Between YUFA and the Board of Governors

1. The parties agree that the attached agreement shall constitute full and final settlement of YUFA's policy grievance of March 13, 1984 (Grievance re Daycare Support).
2. The parties further agree that so long as the attached agreement continues in force, it shall form part of their Collective Agreement and shall be deemed to renew itself and form part of any Collective agreement subsequently entered into between the parties.
3. The parties agree that this agreement shall be without prejudice to any agreement that might be negotiated between the parties on matters other than daycare.

March 27, 1985

Board of Governors for YUFA

Agreement

WHEREAS, the parties to this agreement mutually recognize the continued desirability of the provision of daycare services of high quality for students, staff and other members of the University; and,

WHEREAS, the York University Co-operative Daycare Centre (the "Centre") continues to provide such services for and on behalf of the University Community; and,

WHEREAS, the parties agree to the continued provision of the University facilities and support for the Daycare in pursuance of these objectives;

THEREFORE, the parties undertake as follows:

1. The parties to this agreement are the Board of Governors of York University ("the Board"), the York University Faculty Association ("YUFA"), and the York University Co-operative Daycare Centre ("the Centre").
2. The Centre shall continue to occupy its present space on the ground floor of the Atkinson Residence Building, or equivalent space elsewhere in the University designated by the Board and acceptable to the

Centre.

3. The Board shall continue to extend the benefit of a 60-day courtesy account to the Centre.
4. The board shall continue to permit the Centre to administer its payroll and staff benefits through the University's facilities, as a matter of convenience to the Centre. The Board, YUFA, and the Centre agree that employees of the Centre are not employees of the University.
5. The level of direct financial support by the Board to the Centre shall be determined as follows:
 - i) For 1984-85, the sum of \$50,000 (fifty thousand dollars);
 - ii) For 1985-86, a sum consisting of:
 - a) 56,000 (fifty-six thousand dollars), plus
 - b) an amount equal to the dollar increase over 1984-85 in the University's rental charge for space occupied at present by the Centre, plus
 - c) an amount equal to the dollar increase over 1984-85 in the University's annual charge of 32 hours per week DPP cleaning. Thirty-two hours per week shall constitute the basis for calculation of this amount irrespective of the number of hours actually supplied the Centre by the DPP.
 - iii) For 1986-87 and subsequent years, a sum consisting of the previous years's direct financial support plus amounts equal to the dollar increase over the previous year's rental and cleaning charges respectively, calculated as in (b) and (c) above.
 - iv) Should the Centre be relocated from its present location, pursuant to paragraph 2 above, the Board's direct financial support to the Centre shall continue to be calculated on the basis set out in paragraph 5 (iii) above.
6. Notwithstanding the agreement in (4) above, the parties agree that the Board may at its discretion grant such requests for additional funding as the Centre may from time to time submit.
7. The Centre undertakes that no fewer than sixty per cent of its daycare spaces shall be available for the children of students registered at York University.
8. This agreement shall remain in force for the period March 1, 1985 to April 30, 1990, and shall thereafter renew itself annually unless notice of intent to terminate or renegotiate the agreement is served by any of the parties, in which event this agreement shall expire two years from the date on which notice is served, unless otherwise agreed by the parties.

March 27, 1985

for Board of Governors of York University

for the York University Faculty Association

for the York University Co-operative Daycare Centre

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APPENDIX H

Letters of offer as provided for in 12.29 shall include the appropriate version of the following text:

Version 1.

Your salary rate commencing _____ will be \$_____ per annum. This rate is a _____ (appointment year) salary rate and will not be increased by any increments effective (appointment year) which (have been, are being, will be) negotiated between the York University Faculty Association and the York Administration.

Version 2.

Your salary rate commencing _____ will be \$_____ per annum. This salary is expressed in _____ (current year) terms and will be increased by a percentage equal to the following categories of salary increments: (These categories can be found in Article 25 of the YUFA/Board of Governors Collective Agreement.

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APPENDIX I

Letter of Intent on Librarians' Workload

In pursuit of the objective outlined in 18.17, the administration will fund two (2) continuing stream librarian positions to be recruited in 1997/98.

In addition, the administration will establish a fund for 1997/98 of \$15,000 (approximately 15 hours per week) to support part-time assistance for the Libraries to provide support for peak periods, sick leave replacements, and other such factors.

The YUFA Library Chapter shall, in light of the Libraries' needs and priorities, recommend to the

University Librarian by July 1, 1997 the areas of responsibility for these positions. The recommendations shall be seriously considered and not be unreasonably denied. This procedure is without prejudice and does not establish a precedent.

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APPENDIX J

Misconduct in Academic Research

Re: Text of Employer's written statement to an external agency in response to a request for information:

York University has received your request of [place/date here], and source of request for information concerning... We are authorized to advise you that:

- (a) no such investigation is being conducted;
- (b) an investigation is being conducted and no determination as to the validity of any allegation(s) has been made. We trust that you share our concern and responsibility to protect our valued colleagues from rumour and false accusations. If a finding of misconduct in academic research is made and subsequently sustained by dismissal, we shall advise you of the decision. We shall also advise you if the allegations(s) is dismissed at any stage;
- (c) an investigation was conducted and all complaints/allegations were dismissed.

In the interests of protecting all concerned it is the policy and practice of York University to treat such information as being available on a need to know basis only.

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APPENDIX K

Form Letter to Short-Listed Candidates

It is agreed that the Administration will inform all Chairs that they must send the following letter to all short-listed candidates, on or before the interview.

Dear

The York University Faculty Association is the certified bargaining agent of all persons holding appointments as full-time faculty members or full-time librarians employed by York University. The Association is responsible for negotiating the terms and conditions of employment of this group.

In addition to representing the interests of existing employees in this group, if it is requested, the

Association will assist short-listed candidates in preparing to negotiate their potential contract. Assistance must be requested before the letter of appointment is signed.

If you require further information or any advice concerning the negotiation of the terms and condition of your appointment, please do not hesitate to contact the Association at 104 Scholars Walk, Room 241, 736-5236.

Yours Sincerely,

Chairperson

York University Faculty Association

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APPENDIX L

LETTER OF UNDERSTANDING

For the purpose of

- (i) calculating the Employer's and Employee's required pension contributions; and
- (ii) calculating the final average salary on which the supplementary pension required by the minimum guarantee is based;

a "shadow" salary will be calculated for any YUFA member who retires and for whom the last five years of service overlaps with any part of the social contract period. The "shadow" salary will be the 1992-93 Academic Base Salary incremented in each year of the social contract period by an amount equal to PTR as it is computed in the 1992-93 YUFA Collective Agreement. It is understood that such increments will not be added to the salary of an individual who has attained normal pensionable age (i.e., 65 years).

The Employer agrees to pay any additional Employer's and Employee's contributions required as a result of this provision, up to a maximum of \$100,000.00 from the actuarial surplus in the Minimum Guarantee Fund, provided that the Board of Governors agrees to amend the York Pension Plan as necessary to permit that arrangement.

YUFA and the Administration agree to reactivate the Pay Equity Committee and agree that its recommendations will be submitted to JCOAA by 15 January 1994.

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APPENDIX M

Research Development Fellowship Programme

The current terms and conditions respecting the Research Development Fellowship Programme as per 19.34 are as set forth hereunder and form part of this Agreement.

Although it is clearly intended that a full-time faculty member's responsibilities in teaching, service to the University and research/scholarly/creative/professional contributions and a professional librarian's professional responsibilities, service to the University, and research/scholarly/professional contributions be complementary, it is sometimes the case that excessive commitments in teaching or professional responsibilities and/or service can be detrimental to the progress in another area. In recognition of this fact, as well as of the impact of other factors such as illness can have on an individual's attempts to complete a project, the Administration shall offer, on a competitive basis, up to four (4) Research Development Fellowships from a fund consisting of the equivalent of twelve (12) Course Directorships in monies available to be awarded in each year of the Agreement. The academic unit or library branch shall be entitled to receive replacement costs for the employee. Such fellowships are intended to provide a participant with a period of time during which his/her teaching or professional responsibilities and service commitments are reduced or eliminated, thereby enabling the individual to devote more time and energy to a particular project.

1. Eligibility

The Research Development Fellowship Programme is open to tenured faculty and librarians with continuing appointments with at least five years full-time service at York. In keeping with the expressed intent of the Programme, priority will be given to those nominations demonstrating that heavy teaching or professional responsibilities and/or service to the academic community or other relevant factors have delayed the completion of a project. Successful candidates shall not have been on leave in the year immediately preceding the fellowship year and so as not to unduly disrupt the scheduling of a department's/unit's teaching or the scheduling of professional responsibilities in the Library may be unable to take leave in the year immediately following the fellowship year.

2. Application Process

Eligible faculty who are interested in applying should do so in writing to their Dean/Principal/University Librarian. The Dean/Principal/University Librarian shall be required to forward all applications to the Research Development Fellowship Joint Committee. Each application shall include the following:

- (a) a clear statement as to whether the applicant is applying to take the fellowship year as a full course load reduction or full leave from professional responsibilities, or on a reduced-load basis (one or two course load reduction, reduced professional responsibilities); such a statement to include a rationale supporting his/her preference;
- (b) a description of the project in progress which the individual wishes to complete;
- (c) an explanation of the scholarly/creative/professional significance of the project;
- (d) the proposed methodology to be employed in completing the project;

- (e) a schedule for the completion of the project;
- (f) a copy of draft manuscript(s), notes or other proof of the present state of the project (which items will be returned when no longer needed);
- (g) an up-dated curriculum vitae;
- (h) a letter of support from his/her Chair/Area Coordinator which letter should contain an assessment of the current state of the project, the likelihood of its completion as a result of receiving the fellowship and a candid explanation as to why the project has been delayed;
- (i) the names of three (3) referees chosen by the applicant --- (at least one such individual to be external to York).

The candidate should endeavour to obtain from each of the three named, prior agreement to serve as a referee. Candidates whose projects involve work or documentation which is difficult and/or expensive to duplicate are encouraged to select as external referees individuals who can readily access the candidates' complete files which will be held in the Office of Research Administration.

3. The Dean/Principal/University Librarian shall consider all the applications received and taking into consideration all pertinent information, including the needs of the Faculty/College/Library, nominate those applicants which he/she considers most likely to benefit from this opportunity. In his/her letter of nomination to the Associate Vice-President (Research) the Dean/Principal/ University Librarian shall discuss the relevant information from the applicant's background, particularly with respect to impediments to research/scholarly/ creative/professional productivity both as they related to the discipline involved and to the applicant in particular.

4. The Dean/Principal/University Librarian shall create a "file" for each nominated candidate which shall include the application and all supporting documentation as well as the letter of nomination. The Dean/Principal/University Librarian shall forward these files, along with a confidential letter ranking all nominated candidates from his/her Faculty/College/Library to the Associate Vice-President (Research). This letter shall include an explanation as to how the relevant applications were ranked. The Dean/Principal/University Librarian shall send to each applicant whose proposal is not being nominated a brief statement of the reasons for such decision. A copy of this letter shall be forwarded to the Associate Vice-President (Research) and to the appropriate Chair/Area Coordinator.

5. Both the letter from the Chair described in paragraph 2(h) and the letter from the Dean/Principal/University Librarian to the unsuccessful applicant described in paragraph 4, shall be kept confidential except as is otherwise specified.

6. The letter from the Chair/Area Coordinator described in paragraph 2(h) must include an explanation as to how he/she intends to cover or replace by part-time faculty the applicant's teaching assignments or professional responsibilities.

The replacement of Fellows will be supported on the basis of part-time rates in accord with the following formula:

@ 75% of replacement teaching costs to be paid from the Research Development Fund, and 25% to be

covered by the Faculty of the recipient or the Library whichever is appropriate.

7. Selection Process

(a) The Associate Vice-President (Research), upon receipt of the files of the candidates nominated by the Deans/ Principal/University Librarian shall write to the three (3) referees chosen by each candidate enclosing a copy of these guidelines and the application. Referees shall be informed that the candidate's complete file, including all supporting documentation, will be available in the Office of Research Administration. In the cases of external referees who do not have ready access to York, copies of all supporting documentation will, where practicable, be included in the letter from the Associate Vice-President. (The confidential letter from the Dean/Principal/ University Librarian ranking the nominated candidates will not be included in the file). Each referee will be asked to respond within a specified period of time providing a written rationale for his/her assessment of the value of the project and the likelihood of its completion were the applicant to be selected to participate in the Programme.

(b) The Associate Vice-President (Research) shall present the complete file of each recommended applicant, including the referees' written assessments to the Research Development Fellowship Joint Committee comprised of YUFA and Administrative representatives--membership to be determined. The Research Development Fellowship Joint Committee shall review each file and, where necessary, consult the Chair/Area Coordinator and/or any other colleague who he/she suggests has expertise in the particular area of the discipline of the applicant's project.

(c) The Research Development Fellowship Joint Committee will select, on the basis of all the information at its disposal, up to ten successful applicants. Written notification of selection will be provided to each nominated applicant and, where requested in writing by an unsuccessful candidate, the Committee will provide a brief written statement of the reasons for its decision.

8. Terms and Conditions of the Fellowships

(a) The fellowship year will be taken either as a full teaching load reduction or a full leave from professional responsibilities or on a reduced-load basis (one or two courses reduction, reduced professional responsibilities); which option is selected will depend upon the preference of the successful candidate, the nature of his/her project and the needs of the relevant Faculty/Department.

(b) Regardless of which option is selected, participants will receive 100% of their regular base salary during the "fellowship year". The "fellowship year" will count as a year of service.

9. If the full teaching load reduction or full leave from professional responsibilities option is agreed upon the participant will receive the fellowship year in addition to his/her normal sabbatical. In the interests of not unduly disrupting the department's/unit's scheduling of courses or the Library's scheduling of professional responsibilities, if scheduled for the year immediately following the fellowship the normal sabbatical may be delayed by one year.

10. The Research Development Fellowship Programme has been initiated to provide opportunities to employees who have been unable as a result of excessive teaching or professional responsibilities, service commitments and/or other relevant factors to complete a particular project in the third area of their responsibilities - research/creative/scholarly/professional activities. To facilitate a participant's completion of such project, the Administration is providing 100% base salary support, a release from service commitments and is agreeing to teaching load reductions or reductions in professional responsibilities.

Consequently, and subject to the terms of the Collective Agreement, it will not normally be expected that a participant will engage in overload teaching or committee work during the fellowship year. In keeping with the purpose of the fellowship year - to complete a stalled project - and in accord with the provisions of the Collective Agreement, in particular Article 18. 04, outside activities should not interfere with the participant's progress or should be correspondingly reduced.

11. A participant in the Programme has one calendar year from the date of completion of his/her fellowship year within which to report to the Dean/Principal/University Librarian with a copy to the Associate Vice-President (Research) on his/her activities during the fellowship year and the status of his/her project as a result of his/her participation in the Programme.

As in the case with other University Fellowship Programmes, the recommendations, nominations and decisions made pursuant to the terms of the Research Development Fellowship Programme are not subject to the grievance/arbitration procedures of the Collective Agreement. Disputes respecting recommendations, nominations and decisions made pursuant to the terms of the Research Development Fellowship Programme shall be submitted to the Appeals Committee established for this purpose.

12. Appeals Procedure

(a) An Appeals Committee of five members shall be constituted to hear appeals by applicants who have not been awarded a Research Development Fellowship. Only applicants who have been denied a Research Development Fellowship outright shall be entitled to appeal. Applicants awarded less "time-off" than requested shall not be eligible to appeal.

(b) All appeals to the Appeals Committee shall be made within fourteen (14) days of receipt of a registered letter sent to unsuccessful candidates. Appellants shall submit the reasons for their appeal and arguments supporting their case in writing and may cite, as part of their appeal, alleged procedural irregularities and/or perceived academic misjudgments. Appeals shall be sent to the Appeals Committee via the Office of Research Administration (ORA). Appellants shall have the right to appear before the Appeals Committee but may choose not to exercise this right.

(c) Upon receiving an appeal ORA shall inform YUFA, in writing. The parties to the Agreement shall then proceed to select from a previously agreed upon pool of ten a panel of five (5) Appeal Committee members. In the event that the Parties are unable or fail to select the five members of the Appeal Committee within seven (7) days of YUFA's receipt of the notice of Appeal, the ORA shall inform the co-Chairs of the Joint Grievance Committee, one of whom shall select the members.

(d) Appeals Committee once selected and to set the appeals process in motion.

(e) The Appeals Committee shall select its own Chairperson from among its members and a member to serve as secretary, who will keep appropriate minutes.

(f) The Appeals Committee shall meet within twenty-one (21) days of the date of the closing of appeals to hear those appeals submitted to it. The Committee shall complete its work within fourteen (14) days of its first meeting to hear appeals and shall communicate its decision within forty-eight (48) hours of its final meeting to the Associate Vice-President, Research, who shall inform appellants via registered mail.

(g) All files submitted to the original RDF Committee shall be made available to the Appeals Committee to enable appropriate comparisons to be made.

(h) All material from the Appeals committee shall be deposited with the ORA after the appeals process has been completed.

(i) Decisions of the Appeals Committee are final and binding on all concerned including the Parties to the Agreement.

III. With the exception of the amendments made to the Selection Process, all other changes will be applicable to those individuals selected to participate in the Programme this year. Participants will be advised of the changes to the terms and conditions of their fellowships in writing as soon as is practicable.

IV. In consideration for these amendments, YUFA agrees to withdraw the dispute from Arbitration.

V. The Parties agree that the details set forth in this Memorandum of Settlement represent full and final settlement of the dispute between them.

VI. This settlement is without prejudice to the parties' position as to the interpretation of the Collective Agreement prior to the signing of this Agreement.

For the Association For the Employer

(Date:)

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APPENDIX N

Merit Procedures from the 1989-90 Collective Agreement

25.07 The Employer shall establish a merit pool equal to .5% of the total September 1, 1989 salaries of employees who are expected to continue to be members of the bargaining unit on July 1, 1990. The merit pool shall be allocated on the basis of a per capita basis share for each eligible employee to the Library, Faculties and Administrative units (as per 25.10(e)); and within Faculties, where applicable, to Departments or groups of Departments.

Eligible employees shall be those who are members of the bargaining unit on September 1, 1988 and who

are expected to continue to be members on July 1, 1990.

Merit increases shall be incorporated into the base salaries of those employees who receive them with effect from May 1, 1990.

25.08 Where a unit consists of fewer than five employees, those employees shall designate a larger kindred unit with which to affiliate themselves for the purposes of the consideration and allocation of merit awards. The per capita share of the merit pool of these employees shall be added to the merit pool of the larger unit; and the employees concerned shall participate in the determination of the larger unit's procedures. In the event that the employees concerned cannot agree on or do not indicate a unit with which to affiliate, or in the event that a larger unit declines to accept their affiliation, the allocation of per capita merit shares for the employees concerned shall revert to the Dean. The unit's designation, or the decision of the larger unit not to accept the affiliation shall be conveyed to the Dean by November 15, 1989.

25.09 (a) Merit increases shall be used to reward meritorious accomplishment by individual employees during the interval commencing upon the completion of the period established for the previous merit evaluation (i.e. March 1, 1988) and ending December 31, 1989, and shall be based upon:

(i) in the Professorial stream an evaluation of each employee's research/scholarly/creative/professional contributions, teaching, and service to the University;

(ii) in the Alternate stream, normally an evaluation of each employee's teaching and service to the University unless the employee opts by January 31, 1990 in writing to the Dean/Principal/University Librarian/ Chairperson of the unit to have his/her research/scholarly/creative/ professional accomplishments included in the evaluation;

(iii) for Professional Librarians, an evaluation of the employee's professional performance, contributions to librarianship and scholarship, and service to the University.

(b) Evaluations shall be based upon summary information and up-to-date c.v.'s to be provided by the employee to the body/individual making the evaluation by January 31, 1990. An employee who fails to provide such information and c.v. shall not be evaluated for merit. Upon request, the summary information and c.v.'s shall be made available to the Dean/Principal/University Librarian and to the Joint Merit Review Committee.

25.10 (a) By November 30 1989, the Employer shall provide to YUFA, and to each unit as established in 25.07 above, a list of those eligible to be considered for merit and the total amount of merit available for distribution by the unit.

(b) Employees on sabbatical or other leave are entitled to be considered for merit. No such employee shall be denied a merit increase on the grounds that he/she is on such leave. In order to be evaluated, such employee shall comply with the provisions of Article 25.09(a) and (b). Those employees on such leave who receive a merit increase shall have such increase paid on a prorated basis during the period of their leave. Their base salaries, however, shall be raised by the full amount of the merit increase awarded.

(c) Eligible employees who are jointly appointed to more than one Department/Faculty, and who were jointly appointed to the same Departments/Faculties for the last distribution of merit funds in 1988, shall be included in the same unit(s) in which they were considered for merit in 1988, unless they indicate

otherwise to the Dean(s)/Principal/University Librarian involved by November 15, 1989.

(d) Eligible employees who are jointly appointed to more than one Department/Faculty, and who were not included in the last distribution of merit funds, may elect (a) unit(s) for purposes of consideration for merit increase, but shall do so to the Dean(s)/Principal/University Librarian involved by November 15, 1989. Such jointly appointed employees who fail to make such an election shall have their per capita "share" of the merit pool divided equally among the units to which they are jointly appointed, and the Chairpersons/Deans of these units shall consult to ensure fair consideration of the employee by the units.

(e) A merit pool to be administered by the Employer shall be formed to reward meritorious accomplishments in the area of administration by individuals holding joint administrative/academic appointments. The administrative pool shall be a sum determined by taking the number of full-time equivalent positions represented by the administrative portions of these individuals' appointments.

25.11.01 The Chairpersons or, if not a Department/Division, the Dean/Principal/University Librarian of the unit, as established in Clause 25.07 above, shall, providing at least ten (10) calendar days written notice, by January 30, 1990, hold a meeting of employees eligible to be considered for merit in the unit to:

(a) decide whether the unit intends:

(i) to distribute its merit funds by collegial decision;

(ii) to delegate to the Dean/University Librarian the responsibility for decisions on distribution of merit funds;

(iii) not to distribute its merit funds, in which case the funds in question shall be allocated to a student aid fund of the unit's choice, or to the sector of the Library's book budget of the unit's choice.

(b) In the case of (a)(i) above, adopt in accord with the following procedures, fair and equitable criteria and procedures to be used in making decisions on distribution of merit funds.

25.11.02 (a) A quorum for purposes of reaching decisions at a meeting convened pursuant to 25.11.01 shall be one-third of all employees eligible to be considered for merit awards in the unit.

(b) All specifications, criteria and procedures which are to form the basis for the unit's decisions on distribution of merit funds shall be approved by majority vote of those present at a meeting convened pursuant to 25.11.01 and 25.11.02(a).

(c) To be fair and equitable, criteria and procedures to be used in making decisions respecting the distribution of merit shall:

(i) ensure that no achievement during the period under assessment in any of the areas of performance being evaluated is excluded from consideration for a merit award;

(ii) allow for accomplishments by employees who were, during the period being assessed, particularly strong in any area(s) of activity, or equally strong in all areas of activity under consideration;

(iii) be applied uniformly in the evaluation of all employees eligible to be considered for merit in the unit.

25.11.03 Within ten (10) days following the meeting referred to in Section 25.11.01 above, the Chairperson/Dean/Principal/University Librarian shall notify in writing all employees eligible to be considered for merit in the unit of all criteria and procedures for distribution of merit funds approved at the meeting, with a copy to the Dean.

25.11.04 Within ten (10) days following the meeting referred to in Section 25.11.01 above, the Chairperson/Dean/Principal/University Librarian shall submit details of the criteria and procedures approved by the unit to the Joint Merit Review Committee composed of one member appointed by the Association, one member appointed by the Employer, and a chair mutually agreeable to the parties.

25.11.05 Eligible employees shall have fourteen (14) calendar days from the date of notice (excluding holidays per Article 18.02), to challenge the criteria and procedures adopted by their unit(s) on either procedural grounds or on grounds of their fairness and/or equatibility. Such challenges shall be submitted to the Joint Merit Review Committee established under 25.11.04.

25.11.06 (a) The Joint Merit Review Committee shall, upon its consideration of a challenge respecting criteria and procedures, decide either to confirm the criteria and procedures as approved by the unit, or direct the unit, with specific recommendations, to reconsider/revise its criteria and procedures for distribution of merit awards in accord with the terms of this Agreement. Such reconsideration/revision of criteria and procedures shall be conducted according to Articles 25.11.02 and 25.11.04 inclusive, and shall be subject to challenge as stipulated in Article 25.11.05.

(b) If no challenges are received within fourteen (14) days of receipt of details of a unit's criteria and procedures, or a challenge is not upheld, the Joint Merit Review Committee shall promptly notify the unit that it may proceed to implement the approved criteria and procedures.

25.11.07 (a) Each unit proceeding under Article 25.11.01(a)(i), within twenty-eight (28) days of notice from the Joint Merit Review Committee confirming criteria and procedures, through its Chairperson/Dean/Principal/University Librarian, and each Dean/Principal/University Librarian delegated pursuant to Article 25.11.01(a)(ii), by March 31, 1990, shall:

(i) inform each member of each unit who is eligible to be considered for merit as to whether or not he/she has been recommended to receive a merit award, and of the amount of such recommended award;

(ii) forward to the President, the Joint Merit Review Committee and to the Dean/Principal/University Librarian where appropriate, a summary of its/his/her recommendations for merit awards.

(b) An employee shall be entitled to receive from the Chairperson/Dean/Principal/University Librarian, as appropriate, and upon request, and with reasonable notice, a written statement of the reasons for his/her recommended merit award or failure to be recommended for a merit award.

(c) merit evaluation files shall not be used for any purpose other than evaluation of an employee for merit.

25.12 (a) An employee, or a Dean/Principal/University Librarian, may challenge a recommendation made under Article 25.11.07(a)(i), above. Challenges shall be submitted to the Joint Merit Review Committee established under Article 25.11.05 above within twenty-one (21) days of the date of notice of recommended merit award.

(b) The Joint Merit Review Committee shall, upon its consideration of a challenge to a recommended merit award, decide either to uphold the initial recommendation, or direct, with relevant comments/advice, the original source of the recommendation to undertake a reevaluation of the individual(s) concerned. Such a reevaluation shall be completed within fourteen (14) days of receipt of direction from the Joint Committee and the results communicated to each member of the unit concerned, to the President, to the Joint Committee and to the Dean/Principal/University Librarian concerned. Any redistribution of individual merit awards resulting from the reevaluation, shall be made from the same merit funds originally allocated to the unit. Where an employee challenges a recommended merit award, recommended merit awards for other employees in the same unit shall not be implemented prior to a final disposition of the challenge in accord with this Article. Article 25.11.07(b) shall apply to all employees affected by such re-evaluation. Decisions of the Joint Committee shall be communicated in writing to the employee who submitted the challenge with a copy to the Dean/Principal/University Librarian/ Chairperson, as appropriate, of the unit concerned.

(c) For units in which no member submits a challenge within the specified period, or where submitted, no challenge is upheld and no complaint/grievance is filed twenty-one (21) days after the Committee's decision on the challenge is communicated to the employee(s) of the unit concerned, or in which a reevaluation occurs and no complaint/grievance is filed twenty-one (21) days after the result of the reevaluation has been communicated to the employee(s) of the unit concerned, the Joint Committee shall direct, by written notice to the office of the Vice-President (Academic Affairs) with a copy to the Dean/Principal/University Librarian and Chairperson, where appropriate, of the unit, that the recommended merit awards in the unit be implemented.

(d) Decisions as to merit increments, decisions respecting the criteria and procedures to be used in making recommendations as to merit increments, and decisions of the Joint Merit Review Committee, shall not be subject to the grievance and arbitration provisions established by this Collective Agreement except where:

(i) an employee submits a challenge which is not upheld by the Joint Committee; or

(ii) an employee wishes to challenge a recommended merit award which results from a reevaluation pursuant to Article 25.12(b).

25.13 (a) A fund of \$2,000 from the merit pool shall be available to the Employer to redress any inequities that might arise from error in the allocation of percentages in the cases of cross-appointed employees, or from failure to consider persons absent on leave in the allocation of merit. Unused money in the fund shall, at the end of the contract period, be remitted to the Association.

(b) Upon completion of the merit exercise, all employees and the Association shall be provided with histograms showing, in \$100 intervals, the merit increases awarded by Faculty and by rank.

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ATTACHMENTS

The following documents, which are referenced in this Agreement by reference in Article 13, set out the criteria and procedures for promotion and tenure of faculty members and for continuing appointment and promotion for professional librarians.

I. Report of the Senate Committee on Tenure and Promotions

As of 29 November 1976

And the following amendments or related documents:

- The alternate stream document (15 December 1977)
- Amalgamation of the Senate Tenure and Promotions Appeals Committee and the Senate Committee on Academic Dismissal to form the Senate Tenure Appeals Committee (24 May 1979), excluding that Appendix "Procedures for the Dismissal of Tenured Faculty Members"

Amendments to these criteria and procedures shall require the approval of both parties.

Contents

1. Preamble
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3. Eligibility for Status in Professorial Ranks and Tenure
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8. Members and Procedures of the Senate Committee on Tenure and Promotions
9. Dissemination of Regulations
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11. Alternate Stream Document
12. Addendum 1: Official Interpretation
13. Addendum 2: Schedule I Procedures to Govern the Non-renewal of Untenured Members of Faculty or their Advancement to Candidacy

PREAMBLE

The modern university is a paradoxical institution, for it is part of society, but belongs to civilisation. The university is ideally valued as a place where the best that humankind has thought and done is kept alive, but it is often valued for its power to create thousands of skilled professionals and technicians, to generate new forms of industry, to stimulate the Gross National Product, and to raise the standard of living. Nothing is more likely to reveal this paradoxical nature of the university than the principle of tenure itself. Laypersons often regard tenure as a device that enables professors not to be held responsible for their expressions, and faculty members often regard tenure as job security for competent workers. Although these accidental attributes may have attached themselves through the years to the principle of tenure, they have nothing to do with its essential nature.

If the university's role were not paradoxical, tenure would not be needed. But universities do tenure their members precisely because they feel the need to preserve their civilisational role from their social function. In an institution devoted to the pursuit and communication of knowledge, it is necessary to protect the scholar's right to search for the truth and to serve the truth as a responsible critic of both the university and society. It follows then that not only must the scholar be protected through tenure, but the very process of tenuring itself must be protected. Thus the Continuing Members of a university must be those individuals whose superior achievements as teachers and scholars have proven that they are worthy of holding the university in trust for the civilisation to which it truly belongs.

To hold the university in trust in an age of overwhelming technological change is no simple matter. In an age when knowledge doubles every decade, knowledge becomes the most dynamic feature of our lives and information changes faster than our buildings. Thus the scholar now serves his or her profession in a variety of ways that cannot be simply set down in some monolithic form. Nevertheless, one can recognise that there are three general areas of activity associated with university scholars: teaching, professional achievements, and service to the institution. *Inside* the university, members of faculty teach, do research, and create the structures that help their colleagues to teach and do research. *Outside* the university, members of faculty perform their professional duties in an enormously extended range of activities: e.g., government and public service, scholarly publication, lecturing, consulting, communication through the media, and even the creation of new media of communication. All these activities are essential to the university's life in society, but these activities should not be permitted to turn the university into a place where men and women simply develop their professional careers indifferent to the problems and needs of the academic community.

Thus, to evaluate a candidate for tenure and promotion, it is necessary to consider the total contribution the individual has made to the university. Given the range of activities in modern scholarship, it is foolish to establish a single linear scale on which to measure all the members of all the faculties of the university. Since individuals are individual, no formula for weighting the three areas of achievement could result in a number that would be above or below the automatic tenuring level, and would thus enable the university to transfer the decision from a committee to a computer. It is more reasonable to assume that candidates for tenure in any Faculty will have demonstrated those superior qualities that have earned them the respect of their colleagues at York and abroad. No committee on tenure and promotions could honestly expect that after three to six years of service all candidates for tenure would have achieved excellence in their careers; however, no committee on tenure and promotions could seriously entertain the notion that a grey competence is sufficient brightness for tenure. Each faculty member will have to be assessed on his or her own merits but with an eye to the fullness of an individual's presence within the University.

The conferring of tenure is, therefore, one of the most important relationships between the University and the individual faculty member. And although the criteria for tenure are sometimes identical with those for promotion (in that a candidate's performance in teaching, professional contribution, and service to the University will be assessed in each instance), the nature of tenure is distinct from that of promotion. Tenure is primarily concerned with the scholar's right to pursue and communicate knowledge and express opinions in an atmosphere free of reprisal and with the University's right to entrust its institutional life to its best men and women. Thus the decision to grant tenure to a candidate is more critical than the decision to promote; in granting a continuing career appointment to a candidate, the University is entrusting itself to his/her care in concert with his/her tenured colleagues; in granting a promotion, however, the University recognises the personal achievement of a meritorious candidate.

These observations are made as an introduction to the description of the criteria that follow for tenure and promotion. They also indicate the spirit in which the criteria should be taken. These guidelines are proposed by the Senate Committee on Tenure and Promotions for its own guidance, and for the information of the University as a whole. They are intentionally flexible, and require application and amplification according to the explicit standards that are expected to be provided by each and every Faculty and Department. In the light of the many and different types of academic progress co-existing in a complex university like York, the Senate Committee's guidelines can reflect only those standards common to the University as a whole; it must rely on the individual Faculties and Departments to supplement these general criteria with specific applications to their particular disciplines. Only in this way may the Senate Committee perform its mandate, to judge a candidate's fitness according to both the University's standards and the criteria applied by his or her own Department. It is implicit, however, that the particular standards of each Faculty will be in accord with the University guidelines.

Although professional "marketability" is sometimes a factor in the final decision on individual recommendations for promotion and tenure, it is not included here within the guidelines to be administered by the Senate Committee on Tenure and Promotions. Offers from other institutions should properly be examined by Department Chairs with the Deans and with the President; they should not come, either in written or in oral form, before the Senate Committee. The function of the Committee is to assess recommendations in the light of the guidelines below before the dossiers are forwarded for the final recommendation of the President to the Board of Governors.

A. THE UNIVERSITY CRITERIA FOR TENURE AND PROMOTION

Because promotion and tenure primarily affect junior members of the academic community, the following criteria are described so that they may constitute not only a basis for evaluation *after* performance, but also a means of encouraging junior faculty *before* and *during* performance.

1. *Teaching*

Members of faculty perform many functions, but all are teachers. At the level of the university, teaching is itself an expression of scholarship. In an age of intense specialisation generating an information explosion, the scholar who can take information and synthesise it into coherent structures of knowledge is performing an essential and sophisticated task. To be able to create an intelligible and intelligent university course is a very significant accomplishment. The facile distinction between teachers and researchers comes from another era when a graduate education conferred upon the teacher a long-lasting competence in a single field. Today disciplines interpenetrate to such a degree that the researcher cannot rest tranquilly secure in his or her area of expertise, and the teacher cannot rest secure that a gentle summer's preparation will be sufficient scholarship for a good introductory course.

To assess the quality of a candidate's teaching, there are certain standards which can and should be applied within the University. The content of the teaching must be evaluated -- whether it is conventional and routine, or whether scholarship is revealed through research, analysis, reflection, synthesis, and the expression of original work. The effectiveness of communication must also be considered, since communication is the essence of good teaching. The performance of the candidate must be assessed in terms of specific situations -- i.e., with undergraduate or with graduate students, in groups and tutorials, in the laboratory or in the field, in small or large lectures. A candidate may be more effective in one situation than in others. While no one situation should be given a premium value to the detriment of others, a candidate should be superior in at least one area of teaching.

The judgement of colleagues must be brought to bear on the assessment of teaching performance; reliance on mere hearsay should be avoided. The direct expression of students' evaluation of teachers should be solicited. Without a concrete, highly specific, and well-supported evaluation of a teacher's performance, the Senate Committee on Tenure and Promotions will return a dossier with a request for more information. The Committee may know the candidate.

2. Professional Contribution and Standing

In most cases distinction within a profession arises from the communication of knowledge or skills through public service, scholarly publication, or the production of works of art. Although publication and performance are not in themselves a guarantee of excellence, one recognises that these kinds of professional activity are addressed to communities larger than York University, and that, therefore, they must be judged in this larger professional context. In certain cases a distinguished public expression constitutes *prima facie* evidence that the quality of the work has been assessed and found to be of a high standard; in other cases it may be necessary to solicit assessments from specialists in the same field.

When the candidate has written or produced a work as part of a team or group in a research project, as often happens in the sciences, the nature of his or her contribution must be assessed.

Intellectual achievement may also be manifested by studies or activities which have been commissioned by governments or by private institutions. Contributions of this kind are significant, but they can be uneven and should always be evaluated by a recognised authority in the same field.

Generally, the quality of a candidate's scholarship will be evaluated in the light of judgements by reputable scholars; in cases where there may be division within a discipline, the Department should describe the nature of the conflict among schools of thought and present the Committee with a wider range of professional opinion. Where the candidate is relatively young, judgement should point not only to immediate achievement, but to the promise or lack of promise for further development.

The work performed by members of faculty for public and private institutions is indeed an integral part of the relationship between the University and the community. Communication with the general public in a variety of forms and media will be a continuing necessity for the modern university, and outstanding contributions of faculty in this area must be recognised. Service in an advisory capacity to various public agencies, presentation of lectures and talks to other than professional audiences, performances with radio and television networks -- all such activity should be documented as evidence of any special capacity to enhance the intellectual relationship between the University and the community.

These activities must not be separated from the other criteria; they will be weighed in relation to the

central core of responsibility which belongs to every member of faculty not only to transmit but to extend the boundaries of perception, understanding, and knowledge.

3. Service to the University

Service to the University will take many forms, with committee and administrative work the most common. Chairs and Deans will attempt to discriminate among the kinds of administrative work in which a faculty member has participated. Contributions through committees and administrative offices should be assessed as an area for the display of knowledge and good judgement in the creation of new courses, programmes, Faculties, and Colleges.

The work of some committees is routine; obligations to serve on them from time to time are implicit in being a member of Faculty and deserve no special weight. Committees relevant to the making of academic policy, or major duties assumed at the request of the University which have led to its improvement, are clearly more important and will be given proper consideration.

In exceptional cases the University must recognise its responsibility for the fact that the growth of a candidate's scholarly and academic development may have lagged because of the large demands which important administrative work has made upon his/her time. In such circumstances the Senate Committee will require full information from persons familiar with the extent and nature of the candidate's participation in a major service activity.

The Senate Committee requests explication of the standards employed in the evaluation of candidates by individual Departments and Faculties in accordance with these guidelines. All recommendations for tenure and promotion to the rank of Associate Professor require either demonstrated superiority (excellence) in a minimum of one of the three categories outlined above, with at least competence demonstrated in teaching and in professional contribution and standing, or at least high competence in all three categories.* The Senate Committee will review the standards set forth by Faculties and Departments; it will also undertake to ensure that standards are uniformly applied throughout the University.

*It is the Senate Committee's interpretation of Senate's action on 27 May 1976 that Senate wished to downplay service slightly when excellence in teaching or professional contribution and standing is involved, but that Senate did not wish to eliminate it completely as a consideration in such cases. Even when a claim for excellence is made in teaching or professional contribution, it is essential that the area of service be fully documented and evaluated. (24 June 1976)

The level of achievement required for the granting of tenure and promotion is identical for first, second and third year candidacy consideration.

B. ELIGIBILITY FOR STATUS IN PROFESSORIAL RANKS AND TENURE

Academic ranks exist so that the profession may be internally responsible for administering its own standards of achievement. Although there is no absolute relation between ranks and age or seniority of service within the University, there is an association between ranks and a general pattern of professional development in which age becomes one of the visible features. However, age alone should not be construed to be a criterion for promotion. A university scholar is a professional person devoted to the pursuit of excellence in teaching, research, and service to the University. Promotion, although it may be associated with seniority within the University, must in its essential nature be related to the University's

recognition of a scholar's real achievements.

The following outline of promotion through the ranks is a mere average profile; it is put forth to give members of faculty a general notion of what is to be expected; it is not, however, a set of rules. Candidates for tenure and promotion will move at varying rates, according to their own patterns of professional growth.

Assistant Professor

In some Faculties promotion to this rank is seen as automatic upon the completion of a Ph.D., in other Faculties this degree is not an appropriate indication of achievement. Clearly, it is possible for young scholars to demonstrate that they are already mature professionals who have completed their training and have embarked upon their careers. The Committee is sensitive to the different indications of this level of achievement prevailing in the different Faculties and will not use a single scale to judge all candidates. Nevertheless, in all the Faculties of the University, an Assistant Professorship should mean that the years of apprenticeship are over and that the student has now become a scholar.

Associate Professor

An Associate Professor is a matured scholar whose achievements at York and/or elsewhere have earned his or her colleagues' respect as an individual of superior qualities and achievements. A normal expectation of promotion to Associate Professor would be between three to six years of service in the rank of Assistant Professor.

Professor

A Professor is an eminent member of the University whose achievements at York and/or in his/her profession have marked him or her as one of the scholars from whom the University receives its energy and strength. Clearly this level of achievement cannot be identified with serving several years as an Associate Professor; nevertheless, the rank should not be considered a form of apotheosis. The rank of Professor should be within the expectancy of all Associate Professors.

Sabbaticals & Leaves of Absence

The period spent on sabbatical leave will count as service even though the faculty member is not engaged at York in teaching and other normal activities of University life. On the other hand, leaves of absence other than sabbaticals may extend from short to very long periods of time. In every case of leave of absence, provision for credit or non-credit of such time to the years of service to York University should be arranged in advance by written agreement between the candidate, the Chair of the Department, and the Dean of the Faculty/College.

The Relation of Promotion to Tenure

The Preamble has expressed the distinction between the principle of tenure and the principle of promotion. The decision to grant tenure is one of the most important relationships between the faculty member and the University, since it confers upon the scholar a continuing career appointment. It is, therefore, reasonable to assume that a candidate who has been judged worthy of tenure is normally worthy of being promoted to the rank of Associate Professor. Nevertheless, there may be *exceptional* cases in which promotion is warranted without the conferral of tenure, and in which tenure may be

granted but promotion delayed.

An exceptional case, where tenure may be granted and promotion delayed, may involve one or more of the following:

- (i) medical circumstances -- where certain extended and severe medical problems have delayed a candidate from realising his/her promise;
- (ii) major change in field of academic concentration;
- (iii) documented high promise of *excellence* or high competence in the three criteria categories to be realised in the immediate future (i.e., no longer than two years);
- (iv) exceptional conditions where extraordinary service was rendered by a candidate.

C. TENURE

Full-time appointments to the faculty of York University fall into the following classes:

- (i) those that confer probationary status, implying that the University will give serious consideration to the granting of tenure;
- (ii) those which place the faculty member in a "Separate Stream" of faculty, under the terms of Senate legislation approved 22 June 1972;
- (iii) those which confer tenure, which is awarded only to faculty members of professorial rank or at the senior levels of the Separate Stream;
- (iv) those made in exceptional cases, where the University finds it necessary to make appointments with a contractually limited term, carrying no implication of renewal or continuation beyond the stated term, and no implication that the appointee is on probation for a permanent appointment.

1. Probationary Period

Most initial appointments at York are probationary. The purpose of the probationary appointment is to provide the University and the candidate an opportunity for mutual appraisal. Probation does not imply that tenure and promotion will be granted, but it does imply that the University gives serious consideration to such an appointment during that period.

Two sequential probationary periods are used at York:

- (a) *Precandidacy*: All Assistant Professors and Lecturers become precandidates upon appointment. The period of Pre-candidacy will not normally exceed three years, during which time the initiating unit will

determine whether it wishes the individual's appointment to be continued into Candidacy. Procedures to be followed in making this determination are to be found in the Report of the Senate Committee on Academic Dismissal: "Procedures to Govern the Non-renewal of Untenured Members of Faculty or their Advancement to Candidacy". *The Dean of the Faculty shall inform the Secretary of the University of the final decision in each case.*

(b) *Candidacy*: During the period of Candidacy, which extends up to three years beyond Precandidacy, the eligibility of the person for a continuing appointment, i.e., tenure, must be determined by the initiating unit. Under no circumstances can a faculty member be required to come up for consideration for tenure (and/or promotion) in the first year of Candidacy if he or she does not wish so to be considered. The initiating unit must prepare a complete file for all members of faculty not later than their second year of Candidacy and forward that file through the Faculty Committee to the Senate Committee, regardless of the recommendation, which may be positive, negative, or delay. It should be pointed out that the recommendation to delay is *not* a negative recommendation. It indicates that the candidate has not as yet reached the point at which the unit feels it may make a positive recommendation. Where a delay recommendation is first made, the candidate shall be informed of the reasons for that recommendation by that body. For those candidates for whom a final decision has not been made in the second year of candidacy, a positive or negative recommendation must come forward from the initiating unit before November 1st of the third year of Candidacy. In any reconsideration of cases where a previous delay or negative decision has been made, all the material contained in the previous file shall be retained and brought before each committee that reconsiders the case.

(c) *Precandidacy and Candidacy*: The two phases, Precandidacy and Candidacy, may not total more than six years. In the exceptional case of Precandidacy lasting four years and the individual then being moved into Candidacy, the period of Candidacy

shall be two years, those years being, in the terms of this document, the first year and the final year of Candidacy.

2. Termination of a Probationary Appointment

The termination of a probationary appointment is not the specific concern of the Senate Committee on Tenure and Promotions. Procedures governing the non-renewal or termination of *precandidacy* appointments may be found in the Report of the Senate Committee on Academic Dismissal. *Candidacy* is a protected period, during which a faculty member's appointment may be terminated only for cause, by a negative decision on tenure, or for budgetary reasons. In any event, for candidates for tenure, and for

faculty who have served as full-time probationary appointees for three years or more, notice that a probationary appointment is not to be renewed shall be given no later than one calendar year before the appointment is to terminate.

3. Initial Appointment as Lecturer

The status of Lecturer varies in the University from Department to department and from

Faculty to Faculty. If represents an initial appointment and temporary status, subject to

the following guidelines:

(a) Each person appointed to the rank of Lecturer shall be informed in writing at the time of appointment as to what conditions and length of service are expected to be fulfilled for subsequent promotion to the Assistant Professor rank. A faculty member shall not remain in the Lecturer rank for longer than three years.

(b) Promotion from Lecturer to Assistant Professor is not a matter to express action by the Tenure and Promotions Committee of Senate. Such promotions shall be made using the standard appointment form.

4. Initial Appointment as Assistant Professor

Persons appointed initially at the rank of Assistant Professor will enter into the Precandidacy period. Progression through Precandidacy and Candidacy will be governed by performance and by the norms governing progress in the particular Department and Faculty, provided that the decision regarding tenure is taken before the end of the sixth year of service. It is possible that the precandidacy and candidacy periods may be shortened in the case of persons with service elsewhere. *The Dean shall inform the Faculty of the Tenure and Promotions Committee and the Secretary of the University of its decision in each case.*

5. Initial Appointment as Associate Professor or Professor

In the case of candidates whose initial appointment at York was made at the level of Associate Professor or Professor, the first year of service would initiate the Candidacy phase, unless an agreement to the contrary has been reached between the University and the candidate. Thus, it is the responsibility in such cases for the initiating unit to forward a recommendation for tenure not later than the second year of candidacy whether the recommendation be positive, negative, or delay. Normally, a faculty member appointed at this level should have completed one year of service with the University before being proposed for tenure.

6. Denial of Tenure

A faculty member denied tenure during the candidacy phase of a probationary appointment shall be given notice of termination on or before June 30th in the year in which the decision to deny tenure is made, that the next academic year commencing

July 1st and concluding June 30th shall be the terminal year of employment. Reappointment for a subsequent period would be most unusual and conditions regarding such appointments shall be governed by Section E "Appointments for Contractually Limited Terms".

D. PROCEDURES FOR PROMOTION AND TENURE

1. Procedures for promotion and tenure should be established by each Faculty in accordance with the following principles:

(a) Normally, proceedings may be initiated by the Dean or the Departmental Chair. Proceedings may also, however, be initiated by the candidate or by other interested parties within the academic body of the University. A file will be prepared on each candidate, using the standard Application for Promotion or Tenure form. The complete file will proceed from the Departmental or Divisional level to the Faculty level, and via the Dean to the Senate Committee on Tenure and Promotions. The file will then pass to the President for his or her recommendation to the Board.

(b) Where there are Departments or Divisions within a Faculty, a committee should be established in each such unit to make recommendations on every candidate for promotion or tenure. In those Faculties where there are no such units, this committee will be a committee of the Faculty. In the first instance, the composition and membership of these primary level committees shall be established by a group comprising, at least, all tenured members of the Faculty or the unit within the Faculty.

(c) Where a departmental/divisional Chair or a Dean appends a letter of recommendation to that of a committee's recommendation, copies will be sent to the initiating unit and the candidate.

(d) If the recommendation on tenure and/or promotion from the Faculty Committee to the Senate Committee is negative, the Dean must notify the candidate in writing and supply a detailed statement of the reasons for this recommendation. The candidate shall have 15 days from the date of the receipt of the notice of recommendation from the Dean to add material in writing to the file for the consideration of the Senate Committee on Tenure and Promotions. The complete files in such cases shall proceed to the Senate Committee. If the Senate Committee confirms the negative recommendation, an appeal can be directed to the President within 15 days from the date of the receipt of notification of the Senate Committee's recommendation. Notification will be by registered mail.

(e) If the Senate Committee on Tenure and Promotions rejects a recommendation from a Faculty Tenure and Promotions Committee for tenure and/or promotion, it shall notify the Dean and the candidate in writing, and supply a detailed statement of the reasons for this recommendation. There shall be a period of 15 days from the date of the receipt of notification to request in writing that the Senate Committee reconsider its rejection of the recommendation. Cases under reconsideration will await the outcome before being forwarded to the President for action. If the Senate Committee confirms its recommendation, an appeal can be directed to the President within 15 days from date of the receipt of notification of the Senate Committee's final recommendation. Notification will be by registered mail.

(f) The Candidate shall be kept informed in writing about the progress of his or her case at each point where a recommendation is made to the next higher committee, and shall be given 15 days from the date of the receipt of the notification at each point to provide additional information or evidence before the file is forwarded to the next committee.

2. In cases of difference of opinion or insufficient information the Senate Committee reserves the right to consult Deans or others as it sees fit.
3. The Senate Committee, in its advisory capacity to the President, will recommend all files under the categories: positive, negative, or delay. It will append statements in the event of decisions in the latter two categories, as well as in the first, if it reverses a negative vote from a prior stage in the process. All files and statements will be forwarded to the President, whose own statements to the Dean and the candidate concerned will include a statement making clear the position taken by the Senate Committee.
4. The President should inform the Senate Committee of his or her disposition of each file sent forward. In cases of difference of opinion between the Senate Committee and the President, he or she will provide the Senate Committee with detailed comments regarding his/her disposition of such cases. The President, of course, has the right to consult as he or she sees fit on any recommendations forwarded to him or her, although questions of differing judgements will ordinarily have been resolved in consultation between the Senate Committee and the particular Dean. If the President rejects a positive recommendation from the Senate Committee, he or she should provide a written statement of his/her reasons to the candidate.
5. Letters of recommendation from department (or unit or programme) committees and faculty committees will be regarded as the official recommendations of the department (or unit or programme) and of the faculty when considered by the Senate Committee on Tenure and Promotions. In addition, the Senate requires that Department Chairs (or their equivalents) and Deans provide a written statement on each candidate, which statements will be forwarded to the Faculty Committee (from the Department Chair) and to the Senate Committee (from the Dean). A copy of each of these statements must be provided to the candidate.
6. All documents in a candidate's file for tenure and/or promotion will be open to the candidate at all levels of consideration except confidential letters of reference.
7. All files must contain letters of reference solicited as confidential (e.g. from students, colleagues within the University and outside referees). Unsolicited letters, however, may or may not be kept confidential depending on the wish of the writer; if such a wish is not explicitly stated by the writer, the letter must be treated as confidential. Copies of official letters of recommendation which are forwarded from one committee to the next, as well as Chair's and Dean's letters which are forwarded from one committee to the next, must be sent to the candidate. The gist of confidential letters must be communicated in writing to the candidate by the receiving unit without identifying the referee/student/colleague.

E. APPOINTMENTS FOR CONTRACTUALLY LIMITED TERMS

1. Contracts for limited terms shall be used for all faculty appointments which do not carry an implication or obligation that the appointee is on probation for tenure, for example, visiting appointments, sessional appointments or appointments at the Instructor rank.
2. The length of a limited term shall be clearly stated in writing.
3. The University shall advise the individual whether or not it proposes to renew a limited term contract not later than the first day of February in the academic year in which the contract ends. In any event, every effort should be made to notify the individual of a non-renewal early enough that he/she may investigate other opportunities for appointments.

F. MISCELLANEOUS

1. In accord with the statements of this Report on the periods of Precandidacy and Candidacy for tenure, it is appropriate that Departments or Faculties initiate action without delay in the cases of all members presently in their third year of Candidacy.

2. The Deans must provide the Senate Committee each September with a balance-sheet listing of all candidates for tenure in their Faculty, indicating:

Name and unit

Years of service at York

Date of entering candidacy

Rank

Previous Promotions

Any decisions regarding tenure and/or promotion taken by the initiating unit.

3. Except in extraordinary circumstances, any promotion and tenure decision must be based solely on information contained in the candidate's file.

G. MEMBERSHIP AND PROCEDURES OF THE SENATE COMMITTEE ON TENURE AND PROMOTIONS

The standing committee of the Senate on Tenure and Promotions shall act as the President's Advisory Committee on Promotions and Tenure; its deliberations to be *in camera*, completely confidential, and not open to debate in Senate. *The Senate Committee on Tenure and Promotions shall report to Senate on its work at least three times a year.*

"The Committee shall consist of twelve members *one to be a student Senator*, two at least of which shall hold the rank of Full Professor, and eight at least of which shall hold a rank above that of Assistant Professor. Service on the Committee will be for three years, with a third of the membership retiring annually. Members will not be eligible for successive re-election to the Committee. Members of the Senate Committee on Tenure and Promotions may not simultaneously be members of Faculty Tenure and Promotions Committees."

No person may serve simultaneously on tenure and promotions committees at different levels unless that individual's membership is required to maintain a statutory quorum at the initiating unit level.

H. DISSEMINATION OF REGULATIONS

It is recommended that the above regulations regarding tenure and promotion be sent to each prospective member of faculty along with the letter of offer. All present members of the York faculty should be made aware of the criteria and procedures contained herein without delay.

I. SENATE TENURE APPEALS COMMITTEE

At its meeting of 24 May 1979, Senate approved the amalgamation of the Senate Tenure and Promotions Appeals Committee and the Senate Committee on Academic Dismissal to form the Senate Tenure Appeals Committee.

Terms of Reference

1. The standing Senate Tenure Appeals Committee shall hear appeals, in situations as defined below, against the recommendations of the Senate Committee on Tenure and Promotions; and against faculty decisions not to renew the appointments of untenured faculty members or not to advance them to candidacy.
2. The Committee shall also investigate problems associated with the dismissal of untenured faculty members and, when necessary, formulate criteria governing grounds for dismissal.
3. The Committee shall consist of six persons, 1 student and 5 nominated at large from among all full-time faculty members by the Senate Nominating Committee and elected by Senate.
4. No person shall serve simultaneously on tenure and promotions committees (including the Senate Tenure Appeals Committee) at different levels unless that individual's membership is required to maintain a statutory quorum at the initiating unit level.

Procedures governing appeals against recommendations of the Senate Committee on Tenure and Promotions

- (a) The Senate Tenure Appeals Committee shall hear appeals from positive or negative tenure recommendations of the Senate Committee on Tenure and Promotions made by candidates, their departments, or faculties/colleges, except in cases where the Senate Committee on Tenure and Promotions' recommendation is "delay", or in cases where Committee recommendations concerning a candidate at each level of the tenure and promotion process (including the Senate Committee on Tenure and Promotions) are in accord.
- (b) Such appeals must be submitted in the form of a letter from the appellant to the Secretary within 15 days following receipt of notification of the final recommendation of the Senate Committee on Tenure and Promotions.
- (c) Such appeals may be considered by the Senate Tenure Appeals Committee only on the basis of the record (file) as it stands when the final recommendation of the Senate Committee on Tenure and Promotions is made.
- (d) The Senate Tenure Appeals Committee has power to substitute its judgement as to recommendation for that of the Senate Committee on Tenure and Promotions, not only in cases where it finds procedural irregularity at the lower level, but also in cases where it disagrees on the merits with the judgement of the Senate Committee on Tenure and Promotions.
- (e) The Senate Tenure Appeals Committee will provide the appellant and relevant tenure and promotions committees with a letter outlining its disposition of each appeal and the reasons for the decision, and will

report its findings to the President, who will make a recommendation to the Board of Governors as required by the York Act.

(f) A candidate appealing to STAC will be permitted, if he or she wishes, to nominate a file which was before the Senate Committee on Tenure and Promotions preferably in the same year, or if necessary in the previous year, which the Senate Committee felt was worthy of tenure and to which he or she wishes to have his/her file compared.

(g) The Senate Tenure Appeals Committee will be permitted access to files that come before the Senate Committee on Tenure and Promotions.

Procedures governing appeals against Faculty decisions not to renew the appointments of untenured faculty members in the probationary stream or not to advance untenured faculty members to candidacy.

Procedures are outlined in Schedule I, "Procedures to Govern the Non-renewal of Untenured Members of Faculty or their Advancement to Candidacy", Report of the Senate Committee on Academic Dismissal, 19 October 1972 (as amended 29 November 1973 and 24 October 1974), sections 1(a)(v) to 1(a)(viii). [Schedule I is an Addendum to this document.]

ALTERNATE STREAM DOCUMENT

Preamble

In the large multi-faceted institution that York University has become, it is now apparent that the duties required of some members of faculty are significantly different from those required of most faculty members. In contrast to the functions performed by members of the Professorial Stream - teaching, research, and service to the University - the main responsibility of faculty in the Alternate Stream is teaching. Thus, extensive preparation and a large number of contact hours per week in the classroom, laboratory, or studio are required of individuals in this Stream.

In addition, it is expected that these individuals will participate in related activities in the undergraduate programme, such as serving on committees and engaging in administrative work, including, perhaps, the supervision of other persons engaged in teaching. Because of their specific responsibilities and their time commitment to teaching, it is not expected that members of the Alternate Stream will engage in basic research, that is, research that is not directly related to their teaching responsibilities. It may be that some individuals in the Alternate Stream will, without prejudice to their other duties, find time to engage in basic research. Since it is basic research which is the very essence of the differentiation between members of the Professorial and Alternate Streams, these individuals should be advised that the requirements for advancement in the Alternate Stream will not normally be met by basic research. Of course, any research related to the Alternate Stream member's course work will be considered with his/her teaching performance.

Although the qualifications for appointment and the career aspirations of individuals in the Alternate Stream differ from those in the Professorial Stream, and although the only common element in the streams is the procedure of evaluation for tenure and promotion, it is the wish of the University that both

streams be afforded full dignity and recognition. Appropriate procedures and criteria have been developed over the years to enhance and protect the dignity of the Professorial Stream. The University hopes that this document will do the same for individuals in the Alternate Stream.

Since the Alternate Stream sets up a career orientation that is substantially different from that of the regular stream, this document does not foresee the possibility of transfers or joint- appointments between the streams. In those cases where qualifications and aspirations change, movement across the streams would, of course, be possible on the basis of a new appointment in competition with other qualified applicants. It must be stressed, however, that neither stream can be permitted to be a holding place for the other. The use of the Alternate Stream as a staging ground for individuals to attempt to become qualified for the regular stream would be antithetical to the spirit of this document and, indeed, would undermine the very integrity of the Alternate Stream that this document wishes to promote.

The University's need for specialised teaching skills in certain areas is the *raison d'être* of the Alternate Stream, and thus the consequent emphasis on teaching therein is reflected in the criteria for evaluating members of the stream. Indeed, this need is the basis for requiring that nothing less than excellence (superiority) in teaching and competence in service to the University be the required standard for the granting of tenure to an individual in the stream.

This document establishes one Alternate Stream in the University and provides the foundation for sub-units of the University to build upon it. In this way York may strive for a high standard across the University while allowing for some flexibility at the local level. Each sub-unit with persons in the Alternate Stream is asked to submit a statement of its guidelines in this respect to the Senate Committee on Tenure and Promotions through its Faculty Council every September to ensure that such guidelines, as they are revised from time to time, are consistent with this document.

Eligibility for Appointment to the Alternate Stream

The minimum requirement for appointment to the Alternate Stream is the Master's degree or equivalent background, normally with teaching experience. Units with faculty members in the Alternate Stream must develop hiring criteria through their Faculty Councils that will ensure that the highest standards possible are maintained in appointments to the Alternate Stream.

Ranks and Patterns of Appointment in the Alternate Stream

The academic ranks in the Alternate Stream are:

Assistant Lecturer

Associate Lecturer

Senior Lecturer

In the French Department at Glendon College the ranks are *Chargé d'enseignement*, *Chargé de cours*, and *Maître de cours*, which are equivalent to the ranks of Assistant, Associate, and Senior Lecturer respectively.

Procedures

The procedures and levels of consideration given to tenure and/or promotion cases in the Alternate Stream shall duplicate exactly those used in the Professorial Stream, including the concepts of precandidacy and candidacy.

Assistant Lecturer

All persons appointed to the Alternate Stream will normally be appointed at the rank of Assistant Lecturer; an Assistant Lecturer is one who has achieved proficiency in one of the areas of speciality of the particular unit to which he/she is appointed and who has some proficiency in imparting that special knowledge to students. In a normal appointment an individual would remain at this rank for his/her probationary period.

Associate Lecturer

An Associate Lecturer is a superior teacher who has also demonstrated a competent level of service to the University that one would expect from a colleague in whose hands the care of the University has been placed by the granting of tenure.

It is because of this trust and because of its desire to give instruction of the highest quality that the University establishes a minimal threshold over which individuals in the Alternate Stream must pass to become part of that trust. In recognition of attainment of a level of distinction as a superior teacher whom it wishes to retain, the University grants a promotion to the rank of Associate Lecturer with tenure. It is expected that the Associate Lecturer will maintain, enhance, and perhaps broaden his/her capabilities as a teacher over time. As a tenured member of the faculty of York University, an Associate Lecturer is governed by the general rules of the University relating to tenured faculty (e.g., see the procedures for the dismissal of tenured faculty members in the appendix to Senate's document on tenure and promotion in the Professorial Stream).

Senior Lecturer

The rank of Senior Lecturer denotes an individual whose contribution and value to the University transcends the normal expectations of a senior faculty member in the Alternate Stream.

The great majority of faculty could remain at the rank of Associate Lecturer and promotion to the rank of Senior Lecturer would occur only for those faculty who distinguish themselves by "unusual accomplishment".

Evaluation of Teaching

Since teaching is the prime responsibility of members of the Alternate Stream, it is essential that teaching performance be evaluated both in terms of content and presentation. Because the relative emphasis of some of the essential elements of teaching will vary from unit to unit in the University, the responsibility for defining the criteria and the methods for evaluating the criteria are left to the various sub-units. The lists of criteria and methods must be submitted to the Senate Committee for approval prior to implementation.

The evaluation of teaching is a difficult, complex process that must involve both colleagues and students.

Because colleagues have expertise, previous experience, and an overview of the curriculum of the unit, their evaluations will be given the most weight in addressing the question of the teaching proficiency of the candidate. Student evaluations by class questionnaires can be very helpful in assessing the candidate's ability to communicate the content of the course. The opinions of former students who have had time to assess the value of the course are also valuable in assessing the quality of the teaching.

The evaluation of teaching should be an annual process. This annual process is valuable in determining the strengths and weaknesses of a candidate's teaching abilities, forming a basis for the potential award of merit pay, and arriving at decisions with respect to contract renewals, as well as forming the basis of a case for the University to consider the question of awarding tenure and giving recognition to its best people.

(a) Evaluation by Colleagues

The Tenure and Promotions Committee of the initiating unit is responsible for obtaining independent collegial evaluations of the candidate's teaching abilities. The teaching should be judged, of course, by those colleagues who are most familiar with the candidate's area. In addition, the committee will normally solicit evaluations from the department or programme co-ordinator and course directors. The detailed, confidential reports of the evaluators must satisfy the basis of the evaluation (for example, class visitation, examination of course materials) and must be submitted to the Tenure and Promotions Committee.

(b) Evaluation by Students

The Tenure and Promotions Committee of the initiating unit must solicit confidential letters of evaluation from randomly selected students in the candidate's class and from former students, preferably those who have graduated.

A formal, anonymous questionnaire must be distributed to all the candidate's classes, laboratories, or studio groups and must be returned to the Tenure and Promotions Committee of the Department.

The initiating unit Tenure and Promotions Committee must provide the candidate annually with a summary of the teaching evaluations, together with constructive comments where appropriate.

Evaluation of Service

It is expected that each faculty member in the Alternate Stream will be involved in serving the University. Thus, the candidate may fulfil service responsibilities to the University in a manner which best meets the needs of each particular sub-unit, but will probably involve one or more of the following:

- (1) service on committees on the Department, Faculty, Senate or Presidential level;
- (2) fulfilment of administrative responsibilities.

(Senate, 15 December 1977)

ADDENDA

ADDENDUM 1

Official Interpretation

At its meeting on 13 December 1973, the Senate Executive Committee interpreted the phrase "notification by registered mail" as follows:

- (a) recommendations at any level which approve an application for tenure and/or promotion may be sent by *ordinary* mail to a candidate;
- (b) recommendations at any level which are negative or which delay or only partially approve an application for tenure and/or promotion must be sent to a candidate by *registered* mail.

ADDENDUM 2

SCHEDULE I

SENATE COMMITTEE ON ACADEMIC DISMISSAL

PROCEDURES TO GOVERN THE NON-RENEWAL OF UNTENURED MEMBERS OF FACULTY OR THEIR ADVANCEMENT TO CANDIDACY

AS APPROVED BY SENATE, 19 OCTOBER 1972 and incorporating amendments approved by Senate 29 November 1973 and 24 October 1974

Probationary Period

Most initial appointments at York are probationary. The purpose of the probationary appointment is to provide the University and the candidate an opportunity for mutual appraisal. Probation does not imply that tenure and promotion will be granted, but it does imply that the University gives serious consideration to such an appointments during that period.

All Assistant Professors and Lecturers whose appointment is expected to lead to promotion become *precandidates* upon appointment. Within this period of up to three years, the initiating unit will determine whether it wishes the individual's appointment to be continued. Upon a positive consideration the individual is notified by the initiating unit of his/her entering the next phase, *Candidacy*. A decision concerning the status of a precandidate shall be made only according to the following procedures:

- (i) At the level of the primary administrative unit, be it a Department, Division, Programme, or a Faculty, the decision to terminate the probationary appointment of the precandidate or to advance the individual to Candidacy shall be made only by the tenure and promotions committee of the primary unit, although a recommendation to this committee may be initiated by the chief academic-administrative officer of the unit or Faculty. *If a negative recommendation is made to the Tenure and Promotions Committee, the candidate shall be advised of this in writing and afforded the opportunity to answer any or all the reasons for the negative recommendation.*
- (ii) This decision shall be made in terms of the probability that the precandidate will satisfy or fail to

satisfy the criteria of the Senate Tenure and Promotions Report and the criteria of the relevant unit or Faculty. In the case of the individual in his or her first or second year of precandidacy, a decision to delay by either the primary unit or the Faculty Tenure and Promotion Committee is permissible.

(iii) The decision in the case of a faculty member at York in his/her third year or less shall be made and the faculty member and the Dean notified thereof before November 1st by the chief academic-administrative officer of the initiating unit (i.e., Chair, Director, Dean). *The letter notifying the candidate of termination of employment must include the reason which led to the decision.* When a decision to terminate a precandidate is made if the decision is not communicated to the individual by November 1st, he or she has the right to an additional year of employment with the University.

(iv) An appeal may be made by the faculty member, Chair or Dean to the Faculty Committee on Tenure and Promotions, which shall be the first level of appeal with respect to all untenured faculty in the Precandidacy phase. Notice of appeal and the grounds therefor must be given to the Faculty Committee within one month of notification of the decision. In the case of a faculty member who has received notice of termination of a probationary appointment at the time these procedures are approved by Senate, notice must be given within one month of the date of approval by Senate. It shall be within the power of the Faculty Committee to terminate a precandidate's appointment or to advance one to Candidacy in his or her third year of Precandidacy. *The Faculty Committee should inform the appellant of the decision by March 1.*

(v) A final appeal on procedural grounds may be made to the Senate Committee on Academic Dismissal within one month of notification of the Faculty Committee decision.

(vi) All appeal procedures shall be completed by June 30th. A faculty member should consider himself or herself dismissed as of June 30th, regardless of appeal procedures, once he or she has been informed of a decision to terminate *with reasons specified*, provided such notification has been received by November 1st from the chief academic-administrative officer of the initiating unit. If the appeal of a decision to terminate succeeds between November 1st and June 30th, the termination decision is automatically repealed.

(vii) If the Senate Committee on Academic Dismissal allows an appeal by a precandidate on procedural grounds from a negative decision of a Faculty Tenure and Promotion Committee, the precandidate shall be continued as a precandidate for the following year, unless the initiating unit has reconsidered and come forward with a procedurally correct negative decision, communicated to the precandidate by November 1st by the chief academic-administrative officer of the initiating unit. Similarly, failure to make a decision either to move the precandidate to candidacy or to terminate the appointment as of the end of the third year of precandidacy will result in an extension of precandidacy for one year. Nevertheless, the precandidacy and candidacy periods together shall not exceed six years.

(viii) *A decision by SCAD to uphold an appeal on procedural grounds does not constitute a positive evaluation of the appellant. Rather, such a decision is a ruling that proper procedures were not followed, and it guarantees the appellant no more than one further year's employment with the same status and charges the appropriate tenure and promotions committee with reassessing the case according to approved regulations in the following year.*

NOTE from the Secretary of the University: It should be remembered, with respect to the above, that decisions to terminate appointments are, of course, subject to the authority of the President and the Board of Governors under the York University Act.

NOTE: On 24 May 1979 Senate approved a motion incorporating SCAD into the *Senate Tenure Appeals Committee*.

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II. CRITERIA AND PROCEDURES FOR PROMOTION AND CONTINUING APPOINTMENTS OF PROFESSIONAL LIBRARIANS

25 September 1978

PREAMBLE

The following criteria and procedures for promotion and continuing appointments of librarians were developed to reflect the spirit of the *Report of the Senate Committee on Tenure and Promotion* (10 December 1971), and to set out criteria and procedures for librarians analogous to those applied in the tenure and promotion of faculty members.

Because librarians' functions within the academic community are not the same as those of faculty members and because Senate does not govern on the promotion and continuing appointments of librarians as it does with faculty, the criteria for promotion and continuing appointments of librarians outlined in this document are more detailed than those contained in the *Senate Committee's Report*.

1.0 Criteria

Because promotion and continuing appointments affect junior members of the Library staff, the criteria below are described so that they may constitute not only a basis for evaluation *after* performance, but also a means for encouraging junior librarians *before* and *during* performance.

Recommendations concerning promotion and continuing appointments are based on a librarian's total contribution to the Library and the academic community. For purposes of assessing that contribution, there are three general areas associated with a librarian's performance which will be evaluated:

1. Professional performance and knowledge
2. Professional development
3. Service

The Promotion and Continuing Appointments Committee will review all candidates in accordance with these guidelines and ensure that the guidelines are applied uniformly and fairly to all cases under consideration. Librarians under review will be evaluated in each of the three areas above on the following scale:

Excellent

Highly competent

Competent

Not satisfactory

1.1 Professional Performance and Knowledge

There are many functions performed by librarians in varied contexts but, of necessity, the primary responsibilities of librarians are to build sound collections in the Libraries, to establish effective bibliographic control over those collections and to assist students and faculty members in making effective use of Libraries' resources as they are required to support academic and research pursuits. Since effective library service to the York community is the primary function of the Libraries, it follows that every librarian's foremost responsibility is to provide a high standard of service to the community of users. Therefore, every librarian being evaluated for promotion to any rank, or for continuing appointment, must achieve at least high competence in this area. To determine a librarian's effectiveness, the content of an individual's job is considered in relation to the following factors: knowledge and application of bibliographic techniques; initiative and resourcefulness in problem solving -- whether bibliographic or managerial; quality of judgement in decision-making; understanding of library operations and purposes; ability to utilise current library techniques and theories; interaction with library personnel at all levels; effectiveness of contact with library users; degree of flexibility in accepting responsibility; adapting to and integrating new methods and technology to provide better library service; ability to plan and evaluate library services, resources and functions; level of knowledge of subject or foreign languages, if relevant to responsibilities; and ability to communicate effectively both in verbal and written form.

1.2 Professional Development

In this area, a librarian's activities above and beyond the assigned responsibilities are considered. Since distinction with the library profession arises from research and scholarly work, this area of assessment includes an evaluation of the following factors: an assessment of the research and scholarly work; sharing of professional skills and knowledge with others through publications and lectures; leadership roles in professional and scholarly associations.

A librarian's ability to achieve distinction both inside of York as well as in the larger professional context, often relates to the systematic pursuit of further knowledge. Therefore consideration will also be given to a candidate's efforts to continue to extend or develop the level of knowledge of librarianship and/or of specific subjects, through either formal or informal educational programs.

1.3 Service

Librarians are expected to serve on some committees, such as Library Council, as part of their professional responsibilities. Contributions to other committees, however, especially those which shape

library or academic policies and/or serve the whole University community, are assessed as an area where a candidate can have displayed sound judgement and knowledge of library and information science.

2.0 Eligibility

Ranks for librarians exist so that the profession may be internally responsible for administering its own standards of achievement. Although there is no absolute relation between ranks and length of service within the University, there is an association between ranks and a general pattern of professional development.

A university librarian is a professional devoted to the pursuit of excellence in the provision of library service, research, pursuit of continuing self development and service to the institution. Promotion is therefore related to the University's recognition of a librarian's achievements. The decision to grant continuing appointment to a librarian, however, is more critical than the decision to promote, in that continuing appointment is concerned with the librarian's right to pursue and communicate knowledge and express opinions in an atmosphere free of reprisals and with the University's right to entrust its institutional life to its best men and women. Thus librarians eligible for promotion and continuing appointments will move at varying rates, according to their own pattern of professional growth.

2.1 Years in Rank

Time in rank is based upon a year which begins on July 1 of the calendar year of an individual's appointment. A "year" for purposes of this document therefore extends from July 1 to June 30. Thus for individuals appointed in the last six months of a calendar year, the first "year" ends on June 30 of the following calendar year; for those appointed in the first six months of a calendar year, the first "year" ends on June 30 of the following calendar year.

2.2 Patterns of Advancement

The following outline of advancement is an average profile to indicate what might be expected by librarians. It is not, however, a set pattern.

Years Rank Classification

1 - 3 General Librarian (Precandidacy) Probationary

4 - 6 Assistant Librarian (Candidacy) Probationary

6 & on Associate Librarian Continuing Appointment

10 & on Senior Librarian Continuing Appointment

Promotions and conferral of continuing appointments are effective the beginning of the next appointment year.

Minimum time requirements for advancement or promotion are normally as follows:

- To Assistant Librarian and Candidacy -- three years' professional experience including at least one year at York;
- To Associate Librarian and Continuing Appointment -- five years' professional experience and at least one year at York;
- To Senior Librarian -- at least ten years' professional experience including two years of outstanding performance as an Associate Librarian at York.

As stated above, continuing appointment is one of the most important relationships between a librarian and the University since it confers upon the librarian a continuing career appointment. Therefore, it is reasonable to assume that a candidate who has been judged worthy of continuing appointment is normally worthy of being promoted to the rank of Associate Librarian. Nevertheless, there may be exceptional cases in which promotion is warranted without the conferral of continuing appointment and in which continuing appointment may be granted but promotion to Associate Librarian delayed.

In such exceptional cases the precandidacy and candidacy terms may be extended or delayed by one year to ensure a fair appraisal of a candidate for either promotion or continuing appointment. The circumstances under which such an extension could occur may involve one or more of the following:

- (i) Medical circumstances - where extended and severe medical problems have delayed a candidate from realising his/her promise;
- (ii) Major change in field of professional responsibility;
- (iii) Documented high promise of excellence or high competence in the three areas to be realised in the immediate future (i.e., no longer than two years);
- (iv) Exceptional conditions where extraordinary service was rendered by the candidate;
- (v) Extended leave of absence, where provision for credit or non-credit of such time to the years of service has been arranged in advance of the leave between the candidate and the Director of Libraries.

A candidate may request such an extension or delay by applying in writing to the PCAC within fifteen calendar days of receipt of the Director's notification of the initiation of proceedings.

In cases where PCAC recommends delay of promotion, a candidate may reapply in the following year. If he/she does not reapply, the candidate will automatically be reconsidered in the second year after the delay recommendation.

2.3 Librarians with Previous Experience

Librarians may be appointed at any rank. Except in unusual circumstances, a candidate should complete at least one year of service at York before being considered for a continuing appointment. The precandidacy and candidacy periods may be shortened for librarians with service elsewhere. Librarians appointed as Associate or Senior Librarians will enter candidacy upon appointment, unless an agreement to the contrary has been reached between the Library and the candidate.

3.0 Progression of Ranks and Appointment Status

Most initial appointments at York are probationary. The purpose of the probationary appointment is to provide the University and the candidate an opportunity for mutual appraisal. Probation does not imply that tenure and promotion will be granted, but it does imply that the University gives serious consideration to such an appointment during that period.

There are two sequential probationary periods: *Precandidacy and Candidacy*. The two phases may not total more than six years. In the exceptional case of precandidacy lasting four years and the individual then being moved into candidacy, the period of candidacy shall be two years.

3.1 Precandidacy

All General Librarians and Assistant Librarians become precandidates upon appointment. The period of precandidacy will not normally exceed three years. A librarian shall not remain in the General Librarian rank for more than three years. During this three-year period, it will be determined whether an individual's appointment will be continued to candidacy and in the case of General Librarians, whether they are to be promoted to Assistant Librarians. Proceedings concerning the promotion and advancement of a General Librarian, or the non-renewal of a probationary appointment, may be initiated at any time during the three-year precandidacy period, but must be initiated by May 1 of the second year of service.

3.1.2 Criteria for Advancement

The criteria below apply to advancement of a precandidate to candidate as well as promotion from the rank of General Librarian to the rank of Assistant Librarian. To advance an individual must be assessed as highly competent in the area of professional performance and knowledge, and at least competent in the other two areas. Evidence of the levels of competence required would include, but not be limited to, the following characteristics of performance:

- a) Demonstrated fulfilment of assigned responsibilities and duties
- b) Indications of increasing ability to act independently and creatively
- c) Increasing interest in and capacity for improving the overall effectiveness of a unit's operations
- d) Demonstrated potential for long-range planning and the ability to identify problems, assess alternative solutions and consequences of recommendations
- e) Demonstrated capacity to work harmoniously with colleagues and Library users
- f) Some evidence of increasing competence in a subject area

- g) Successful completion of and/or participation in work-related courses and/or institutes
- h) Dependability and reliability in the execution of responsibilities
- i) Need for a decreasing amount of direction as experience increases
- j) Understanding of Library policies and ability to interpret those policies when required
- k) Effective participation in Library task forces, committees, etc.; effective representation of Library interests and problems to non-Library groups, committees or University officials
- l) Membership in a professional or subject-related association
- m) Promise of further growth in a specific position, in general professional knowledge and, if pertinent, in a subject area.

3.2 Candidacy

During the period of candidacy, which normally extends up to three years beyond precandidacy, the eligibility of a librarian for continuing appointment is determined. Librarians appointed at the rank of Associate or Senior Librarians will enter candidacy upon appointment, unless an agreement to the contrary has been reached between the University and the candidate upon appointment. Proceedings concerning consideration for continuing appointment of a librarian may be initiated at any time after one year of candidacy, but must be initiated by March 1 of the second year of candidacy.

Librarians who are in the candidacy period and hold the rank of Assistant Librarian may also normally be reviewed for promotion to the rank of Associate Librarian during the candidacy period. A normal expectation of promotion to the rank of Associate Librarian would be after three to six years in the rank of Assistant Librarian.

3.2.2 Criteria for Advancement

The criteria below apply to advancement of a librarian from candidacy to continuing appointment, as well as promotion from the rank of Assistant Librarian to Associate Librarian. To qualify for a continuing appointment or for promotion to the rank of Associate Librarian, an individual must be assessed to have at least high competence in the area of professional performance and knowledge and at least high competence in one other area.

Evidence of the levels of competence required would include, but not be limited to, the following characteristics of performance:

- a) Demonstrated excellence in fulfilment of position responsibilities and duties
- b) Obvious ability to act independently and creatively in the position and by so doing to enhance the ability of the Library to fulfil its objectives
- c) Clear understanding of policies; ability to justify and interpret Library policies to staff and users

- d) Significant contributions in the form of analysis, evaluation, planning, advice and/or counsel, suggestions, and actions which improve the operations of a specific Library unit
- e) Provides leadership in fostering effective interpersonal relationships both within the Library and with the community of users; consistently sensitive to user needs and co-ordinates execution of responsibilities with others affected
- f) Demonstrated planning ability; long-range planning ability and/or the ability to define Library objectives and goals will be considered in terms of ability to set objectives, to allocate resources consistent with system-wide goals and resources, and to shape Library policies, i.e., planning ability based on thorough analyses and evaluations of needs and constraints as well as the ability to gain commitment of persons affected by the changes planned for
- g) Evidence of growth in librarianship and/or subject area; awareness of trends in the profession

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