

MEMORANDUM

TO: Deans, Dean of Library, Chairs, Heads, Directors, Associate University Librarians

FROM: Frank Harvey, Provost and Vice-President Academic

DATE: August 10, 2022

RE: SPECIAL FILE INVENTORY SHEET

I am writing to provide information to assist you as you compile materials for tenure, promotion and other proceedings. It is important to follow the procedures and processes listed below to comply with our obligation under the Board/DFA Collective Agreement. I therefore urge you to review this memo very carefully and also the attached sample Inventory Sheet. Please ensure that processes in your unit follow the suggestions contained in this memo.

Special Files

The Board/DFA Collective Agreement contains specific rules regarding the maintenance of special files created for the purposes of considering a Member for:

- reappointment
- promotion
- tenure (professors)
- continuing appointment (instructors, professional counsellors)
- appointment without term (professional librarians).

Clause 18.01 of the Collective Agreement indicates that the special file must contain material submitted by the candidate for consideration as well as material included by the Department, Chair/Head/Director, Dean, Chief Librarian, VP or any Committee considering the matter. It also indicates that each special file is to contain an Inventory Sheet which describes the contents of the file and notes any additions to, or deletions from, the file.

The Inventory Sheet

The Collective Agreement does not specify the form and style of the Inventory Sheet. This memo sets out some suggestions for establishing the Special File and maintaining the Inventory Sheet. Since departments, schools and faculties have different structures and practices, some suggestions may not be appropriate for certain units and modifications may therefore be required.

OFFICE OF THE PROVOST AND VICE-PROVOST ACADEMIC

Henry Hicks Administration Building | Room 108 | 6299 South Street | PO Box 15000 | Halifax NS B3H 4R2 Canada
902.494.2586 | FAX: 902.494.1658

The Inventory Sheet should be an itemized list of the material contained in the special file. It should be maintained, as much as possible, in chronological order. Headings should be inserted to distinguish material added at each stage of the process. A sample Inventory Sheet is attached to this memo.

The Inventory Sheet should be updated at each stage. This may be done manually or electronically using Sharepoint. The Inventory Sheet should be updated at each stage of the process *before* the special file is delivered to the next stage.

Before Consideration Begins

Before actual consideration begins, material will be inserted into the file. For example, a candidate being considered for tenure will submit documentation which will likely include a C.V., a teaching dossier and scholarship material. The Chair/Head/Director, Dean, Chief Librarian or VP shall place student surveys/evaluations in the special file (if they meet the criteria in Clauses 18.08 and 18.09). Letters will be received from external referees (Clauses 18.12, 15.19(b)) and in some cases, written assessments may be submitted by others within the Department or unit (Clause 18.12(d)). All of this material must be placed in the file and listed on the Inventory Sheet.

In some cases, the material submitted by the candidate is contained in a number of binders and is rather voluminous. This material still forms part of the special file and must be listed on the Inventory Sheet. It is suggested that each binder be listed separately and that the contents of the binder also be listed (as shown on the attached sample Inventory Sheet).

Once Consideration Begins

Once consideration begins, the Departmental Committee (or Faculty Committee, in the case of Law and Computer Science) may receive additional material. That material must also be added to the file and should be listed on the inventory sheet under the stage that is considering the matter when the material is received. This shows that it was added *at* that stage and was therefore considered at that stage but not at earlier stages. For example, after receiving the recommendation at one level, the candidate may decide to write to the next level to provide further information. That additional correspondence should be listed under the subsequent level (see the example in section 5 of the attached sample Inventory Sheet) and not under the heading for the material initially submitted by the candidate.

The Inventory Sheet should be updated at each stage of the process *before* the special file is delivered to the next stage. To ensure this is done, one person at each stage should be assigned the responsibility of updating the Inventory Sheet. Any material added at that stage, as well as the letter containing the recommendation at that stage, should be added to the Inventory Sheet. Correspondence to the candidate should also be added. This would include, for example, any letter written to candidates in tenure considerations under Clause 15.18(b) (see the example in section 6 of the attached sample Inventory Sheet).

Finally, a sentence should be inserted indicating that this stage has now concluded and that as of the date indicated, the special file contained the contents as listed above (as shown on the attached sample Inventory Sheet). Whether the Inventory Sheet is being maintained manually or electronically, the updated Inventory Sheet should be included in the special file before it is delivered to the next stage.

Confidential Material

The Collective Agreement provides for the authors of some material added to the special file to have their identity concealed from the candidate. The procedure for concealing an author's identity is set out in Clause 18.11(b). Clause 18.11(b)(i) provides for the identity of an external referee to be concealed from the candidate by having the identifying letterhead and signature block removed. Clause 18.11(b)(ii) describes how other written confidential information is to be handled (including written assessments submitted by other members of the unit under Clause 18.12(d)).

In order to avoid inadvertent disclosure of the author's identity to the candidate, if the special file includes confidential information from an external referee or other written confidential information (handled in accordance with Clause 18.11(b)(ii)), the following guidelines are suggested:

- (i) copy the letter so that the identifying letterhead and signature block are removed;
- (ii) place the original letter in an envelope labeled, **Confidential Information - not to be viewed by Candidate**, and place it at the back of the Special File;
- (iii) list the letter on the Inventory Sheet without revealing the author's identity (see the two examples in section 3 of the attached sample Inventory Sheet, dated Oct. 7/16 and Oct. 14/16);
- (iv) place the copy in the special file and staple a page, containing the following wording, to the front of the copy:

CONFIDENTIAL LETTER ATTACHED

The author of the attached letter has requested that their identity be concealed. As provided for under Clause 18.11(b) of the Collective Agreement, the identifying letterhead and signature block have therefore been removed from the attached copy.

The original letter, showing the author's identity, is included in an envelope contained in the file.

The identity of the author is NOT to be revealed to the candidate under any circumstances.

At the candidate's request, a DFA representative is entitled to review the original letter but shall maintain confidentiality with regard to the author's identity (see the last paragraph of Clause 18.11(b)).

Retention of Material in Special File

Clause 18.01(b) indicates that, subject to Clause 18.13, there is no obligation on the Board to maintain any special file after the consideration has been concluded and any University appeal and/or grievance procedures have been completed.

The special file is normally kept by the central administration for a period of approximately six months after the consideration has concluded and University appeal and/or grievance procedures have been completed. After that time, the administration retains copies of the candidate's curriculum vitae and of all recommendations (Departmental Committee, Chair/Head/Director, Faculty Committee, Dean, etc.). The special file is then returned to the Dean's office.

Clause 18.13(b) indicates that University Tenure Committees and University Promotion Appeal Committees have access to special files pertaining to promotion, tenure or appointment without term for the same assessments of other candidates in the same Faculty in the same and preceding academic year as the candidate under consideration. As a result, the Dean's office should retain the complete special file for tenure and promotion considerations, including all material submitted by the candidate, for eighteen months after the consideration of the case has been concluded. Scholarship material can then be returned to the candidate. Other material should be retained in the Deans' offices.

Questions

If you have any questions, please contact Marlo Shinyei by e-mail at Marlo.Shinyei@dal.ca or Laura Neals by e-mail at Laura.Neals@dal.ca

FH/jl

c: Marlo Shinyei, Associate Director, Academic Staff Relations
Laura Neals, Director, Academic Staff Relations

**SPECIAL FILE INVENTORY SHEET
DR. J.J. DOE**

**DEPT. OF *, FACULTY OF *
CONSIDERATION FOR TENURE AND PROMOTION, FALL 2016**

Last updated: 15 September 2016

1. **Material Submitted by Candidate**

Sept. 15/16 Letter from Dr. J.J. Doe to Chair/Head/Director, attaching:

- C.V.
- Teaching dossier
- Scholarship material

OR Three binders:

One	Sept. 15/16 letter from Dr. J.J. Doe to Chair/Head/Director
	Sept. 15/16 Curriculum vitae
Two	Teaching dossier
Three	Scholarship material

2. **Student Surveys/Evaluations**

Evaluations for COURSE #, fall term, 2015
Evaluations for COURSE #, full academic year, 2015 - 2016
Evaluations for COURSE #, winter term, 2015

3. **Other Material**

Oct. 3/16	Letter from external referee, Dr. *, University of *
Oct. 4/16	Memo from Dr. *, Dept. of *, Dalhousie University
Oct. 6/16	Letter from external referee, Dr. *, * University
Oct. 7/16	Letter from external referee who requested that their identity be concealed
Oct. 14/16	Letter from member of unit who requested that their identity be concealed
Oct. 14/16	Letter from external referee, Professor *, University of *

4. **Departmental Committee**

Oct. 28/16 Letter from Chair, Departmental Committee to Chair/Head/Director

At the conclusion of this stage, the special file contained the contents as listed above.

Dated Oct. 28/16

5. **Chair/Head/Director**

Nov. 7/16 Letter from Prof. Doe to

Chair/Head/Director Nov. 15/16 Letter from

Chair/Head/Director to Dean

At the conclusion of this stage, the special file contained the contents as listed above.

Dated Nov. 15/16

6. **Faculty Committee**

Nov. 22/16 Letter from Faculty Committee to Prof. Doe under Clause

15.18(b) Nov. 29/16 Letter from Prof. Doe to Chair, Faculty Committee

Dec. 9/16 Letter from Faculty Committee to Dean

At the conclusion of this stage, the special file contained the contents as listed above.

Dated Dec. 9/16

7. **Dean**

Dec. 30/16 Letter from Dean to President

At the conclusion of this stage, the special file contained the contents as listed above.

Dated Jan. 5/17