



Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff

as established and approved by

The General Faculties Council

and

The Board of Governors

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Information Management and Administration,

Human Resources, University of Calgary

<p>Faculty of Education Supplemental Procedures included</p>

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Faculty of Education**INTRODUCTORY NOTES**

The contents of boxes, such as this one, contain the policies and procedures of the Faculty of Education. These have been developed within the framework of the University APT document approved by General Faculties Council. The Faculty supplement must be in compliance with the GFC document, but it also provides an elaboration that is tailored to the requirements and professional interests of the Faculty.

When reading the document to determine policy and practice in the Faculty of Education, it is necessary to read also the relevant portions of the University document, since Faculty practices are determined partly by University requirements, and for the most part, the Faculty portion does not reiterate what the University has already stated. That is the reason for embedding Faculty text; the University and Faculty statements which are both required for a complete reading are available together.

The Faculty portions are placed at the end of the relevant University sections.

Faculty members should become familiar with the APT document, but should also feel free to seek advice on interpretation and career concerns from the Dean and Associate Deans who are in a position to offer guidance.

The term "Division" is used throughout the document to refer to the administrative units of the Faculty of Education. However, in addition to its three Divisions, the Faculty also includes a program unit and a resource centre which are not part of the Divisions. For purposes of this document, the term "Divisional Associate Dean" is used to refer to the Associate Dean who fulfils the role of head for matters of annual assessment, tenure, and promotion. "Division" and "Divisional Associate Dean" should be understood to apply also to the units outside the Divisions and to the administrator to whom faculty members in the units submit their reports.

PREAMBLE

This manual contains the University-wide procedures which pertain to the appointment, promotion, and appointment With Tenure of academic staff at the University of Calgary. The term academic staff is understood to include the professorial ranks, the instructor ranks, librarians, archivists, curators, counsellors,

SECTION 1: INTRODUCTION

1.1 Statutory Authority of the General Faculties Council

1.1.1 General Faculties Council has the authority to approve procedures for the appointment, promotion, and dismissal of academic staff at the University of Calgary, under the following provisions of the Post Secondary Learning Act , as amended.

a) Section 84(2)

"The Board may employ any persons it considers necessary to serve as academic staff members at the University."

b) Section 22(2)

"A person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university except on the recommendation of the president made in accordance with procedures approved by general faculties council."

1.2 Other Legislation

1.2.1 The Alberta Bill of Rights , R.S.A. 1980, c. A-16, applies to all Provincial legislation.

1.2.2 The Canadian Charter of Rights and Freedoms, Part I, Constitution Act, 1982 , applies to all Federal and Provincial legislation.

1.2.3 The operation of all appointment, promotion, and dismissal procedures is subject to the relevant provisions of Federal and Provincial legislation such as The Immigration Act (RSC 1985 c. I-2 as amended) and The Human Rights, Citizenship & Multiculturalism Act (RSA 1980 c. H-11.7, as amended).

1.2.4 In accordance with the employment equity provisions of the Federal Contractors Program (Treasury Board Minute 802984 as stated in Treasury Board Circular 1986-44), the University of Calgary is committed to achieve and maintain a fair and representative work force. This commitment includes:

a) measures for the identification and removal of artificial barriers to the selection, appointment, promotion, and training of members of the following groups: women, aboriginal peoples, persons with disabilities, and visible minorities; and

b) steps to improve the employment status of these designated groups by making reasonable accommodations to them to compete equally with others, thereby increasing their participation in all levels of employment.

1.3 Procedural Responsibilities

1.3.1 When the Provost & Vice-President (Academic) determines that it may be necessary to deviate substantially from the specific procedures approved by the General Faculties Council, the Faculty Association will be consulted. After such consultation, the Provost & Vice-President (Academic) shall decide the appropriate and fair way to proceed in each case and will inform the Faculty Association of the decision. The Provost & Vice-President (Academic) will report the above cases annually to the APT Committee to enable the Committee to fulfill its responsibilities.

1.3.2 It is the obligation of all those charged with overseeing the various procedures outlined in this document to assure that the requirements of all applicable legislation, regulations, and policies are appropriately applied.

1.4 Academic Appointments

1.4.1 The terms academic staff, academic staff member, and academic appointee refer equally to those persons appointed by the Board of Governors to positions on the academic staff, pursuant to Section 22(1) of the Post Secondary Learning Act .

Appointments ***With Tenure***

1.4.2 An appointment With Tenure is an appointment without definite term; that is, one wherein the University cannot terminate the employment of the academic appointee unless good and sufficient cause is shown why the appointee should be dismissed.

1.4.3 Notwithstanding the above definition, the University can move to dismissal for reasons of financial exigency under the procedures laid down in Section 7.5, or for reasons of redundancy under the procedures incorporated by Section 7.6.

1.5 Dismissal for Cause

1.5.1 Dismissal for cause refers to the termination of an appointment by the University without the consent of the academic appointee, that is, at any time other than at the end of a stated contractual period.

1.5.2 No academic appointee shall be dismissed for cause unless good and sufficient reason is shown.

1.5.3 Good and sufficient reason includes gross misconduct, incompetence, or persistent neglect of an academic appointee's duty to the academic appointee's students or discipline.

1.5.4 Since academic freedom, as both a right and a responsibility, is essential to scholarly research and teaching, the bona fide exercise of academic freedom cannot constitute good and sufficient reason.

1.6 Academic freedom

1.6.1 Academic freedom is the right of academic appointees to examine, to question, to teach, to learn, to investigate, to speculate, to comment, to criticize, to write, to publish and the like, freely, without pressure, direct or indirect, to conform to or defer to prescribed doctrines.

1.6.2 Academic freedom also includes the duty of scholarly integrity to use such freedom in a manner consistent with the responsibility to base research and teaching on an intellectually honest search for knowledge.

1.6.3 Any academic appointee may claim the right of academic freedom in dismissal proceedings if such proceedings relate to an activity in which academic freedom is an explicit or implicit term of the academic appointee's employment.

1.6.4 Academic appointees also have the same general right to freedom of expression as is

enjoyed by any person.

- 1.6.5 Anyone evaluating research and teaching, and service activities integral to them, has a duty not to infringe academic freedom and, in particular, not to infringe academic freedom through the use of criteria unrelated to scholarly research and teaching.
- 1.6.6 Every academic appointee participating in procedures relating to appointment, assessment, or promotion has the responsibility to consider as relevant only those criteria established or authorized by the General Faculties Council.
- 1.7 Application of Dismissal for Cause
- By reason of Section 1.5, it follows that:
- i. a decision not to renew a contract by reason of a contractual term does not constitute dismissal for cause;
 - ii. a decision not to grant an appointment With Tenure at the end of an Initial Term does not constitute dismissal for cause;
 - iii. the termination by the University of an Initial Term appointment or a Specific Term appointment during the course of its term does constitute dismissal for cause;
 - iv. the termination by the University of an appointment With Tenure at any time does constitute dismissal for cause except when dismissal is for reasons of financial exigency or redundancy;
 - v. dismissal for reasons of financial exigency under the procedures in Section 7.5 does not constitute dismissal for cause; and
 - vi. dismissal for reasons of redundancy under the procedures incorporated by Section 7.6 does not constitute dismissal for cause.
- 1.8 Usage of terms
- 1.8.1 Dean refers to persons holding positions defined by Section 21(2) of the Post Secondary Learning Act.
- 1.8.2 Senior Administrative Officer means a person appointed by the Governors as a Dean of a Faculty (or equivalent in the case of an academic unit other than a Faculty – e.g. Information Resources, Student and Academic Services), an Associate Vice-President, a Vice-President, or the President, including a person appointed as “acting” in any of those positions.
- 1.8.3 Head is the senior officer of a formal Department in a departmentalized Faculty, or the equivalent officer in a non-departmentalized Faculty or in a non-Faculty unit.
- 1.8.4 Faculty is used in these procedures to designate the administrative unit of that name established under Section 19(e) of the Post Secondary Learning Act .
- 1.8.5 For purposes of assessment, increments, promotions, extension of Initial Term, or appointment With Tenure, and the appeal of those assessments, the term Research shall be deemed to mean scholarly activity appropriate to the individual's discipline.
- 1.9 Senior Administrative Staff

2.2.6 The requirements and expectations for part-time appointments shall be proportionately the same as those described in the Faculty guidelines for full-time Continuing appointments provided for by Section 3.5.4.

2.3 Specific Term Appointments

Specific Term appointments are made for a stated term, carrying no implication of renewal or continuation beyond the specified term. There are three categories of Specific Term appointments:

- a) Contingent Term
- b) Limited Term
- c) Term Certain

Contingent Term Appointments

2.3.1 Contingent Term appointments are those appointments of a specified term of more than twelve months' duration having a unique position number assigned within the maximum complement authorized by the Board of Governors and funded 50% or more from outside the base operating budget of the University, and carrying no implication of renewal or continuation beyond the specified term.

2.3.2 Contingent Term appointments may be made in any rank or position title.

2.3.3 A part-time Contingent Term appointment shall not be for less than half-time.

2.3.4 There is no limit on the number of times a Contingent Term appointment may be renewed depending upon the continued availability of specific non-operating funds.

Limited Term Appointments are established in accordance with Article 1.6 (c) of the

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specified term. [Collective Agreement 1.6]

- 2.3.6 Limited Term appointments may be made in any rank or position title.
- 2.3.7 Limited Term appointments may be made for up to five years. The appointments are renewable.
- 2.3.8 Limited Term appointments shall not be renewed except when the specified circumstances outlined in Section 2.3.5 continue to be present.
- 2.3.9 A part-time Limited Term appointment shall not be for less than half-time.

Term Certain Appointments

- 2.3.10 Term Certain appointments are appointments of a specified term made in circumstances more particularly defined in the Collective Agreement Between the Board of Governors and the Faculty Association. Term Certain appointments carry with them no implication of renewal or continuation beyond the specified term.

2.5 Honorary Appointments

2.5.1 Honorary appointments are those appointments made on the recommendation of a Dean or equivalent in any rank or title for a stipulated period on an honorary basis for the benefit of the University and to confer distinction upon the appointee (e.g., Honorary Professor).

2.6 Emeriti

2.6.1 The honouring of a retiring academic appointee by award of emeritus status does not require the operation of these Procedures – see GPC Manual Section 11.0.

SECTION 3: CRITERIA FOR APPOINTMENT, TENURE, MERIT ASSESSMENT, AND PROMOTION

3.1 General Requirements for Academic Staff (Teaching and Research)

3.1.1 The functions of the University are Teaching, Research and Service. There is an expectation that all academic appointees (Teaching and Research) shall engage in these activities (with the exception of the instructor ranks and the rank of Lecturer).

3.1.2 The general criteria for each function as applied to all Ranks as well as the specific criteria for each Rank are set out below.

3.2 Teaching

3.2.1 Teaching is a major University function. It is recognized that teaching or instruction takes place in various contexts appropriate to the disciplines in each Faculty including the classroom, lectures, seminar discussion, clinical supervision, laboratory supervision, tutorials, graduate supervision, field supervision, practicum supervision, distance education, collaborative teaching with associated institutions, the advising of students, etc.

3.2.2 Teaching performance and effectiveness shall be evaluated on a regular basis. Such evaluation should consider all ways a teacher addresses the responsibility and interacts with students. In addition to interactions in the contexts noted in Section 3.2.1, evaluation of teaching should consider the extent of innovation, preparation, reflection of current knowledge, level of interest, direction, and encouragement demonstrated by the academic appointee. Participation in teaching development programs, and/or seeking expert help in the improvement of teaching, will be viewed as an indication of commitment to teaching.

3.2.3 Although the evaluation of teaching may not be based solely on evaluations by students, such evaluations are one factor on which the evaluation of teaching shall be based. Student evaluations shall be required for all academic appointees (Teaching and Research) on a regular basis. Student evaluations must be used consistently. The student evaluations must be interpreted reasonably in light of other relevant contextual factors, including factors which may be outside of the control of the academic appointee.

3.2.3.1 In the case of the Universal Student Rating Instrument, all information provided by the student should be taken into account when interpreting the results.

3.2.4 Part of such evaluation of teaching may be based upon the general reputation enjoyed by the teacher among informed peers and students. Such reputation shall be evidenced only by signed documentation or formal evaluation processes initiated in the context of Section 3.5.3 and Section 3.5.4.

- 3.2.5 The University also recognizes the legitimate role of academics as 'knowledge brokers' in transferring state-of-the-art knowledge to persons in government, business, industry, the professions, and the wider community through the organization and presentation of seminars, workshops, and short courses for persons outside programs leading to degrees.
- 3.2.6 The development, testing, and application of computer-assisted learning techniques and software shall be deemed to be innovative teaching when the techniques or software have been successfully integrated into the teaching of University course offerings and the usefulness of the activity has been acknowledged by informed peers in a manner similar to the peer review of materials submitted for publication.
- 3.3 Research
- 3.3.1 Research, scholarship, and other creative activities constitute a major University function. The primary concern of the individual and the University shall be the importance of high-quality work.
- 3.3.2 These research activities shall be evaluated on a regular basis and shall normally be measured by the quality and pattern of the academic appointee's work, through media and outlets appropriate to each discipline for communication with peers.
- 3.3.3 Research normally shall bear evidence of formal review by informed peers from the

professional knowledge and expertise.

3.4.4 Other service to the community that flows from the discipline or that accrues through other distinguished service to the University or the community may be acknowledged when it brings distinction to the University.

3.4.5 Appropriate levels of service shall be expected of each rank. Nevertheless for individuals whose duties include teaching and research, the normal expectations for teaching and research cannot be fulfilled by service activity in the absence of written agreements with the Dean. Meeting the expectation for service should normally require a smaller portion of effort than is required for the functions of Teaching and Research.

3.4.6 Outside Professional Activity for remuneration shall not normally be counted as service for the purposes of assessment.

3.5 General

3.5.1 Collegueship should be considered to the degree that it can be shown to have affected the teaching, research, or service of the individual, colleagues, or the unit.

3.5.2 Within the context of Section 3.1 above, it is recognized that the nature of teaching, research, and service and the proportional distribution of expectations among the three functions shall vary from Faculty to Faculty.

3.5.3 There shall be generally consistent application of these expectations throughout each Faculty.

3.5.4 Each Dean shall make available to academic appointees in the Faculty, following approval by the Faculty Council, written guidelines on the manner in which the criteria for appointment, tenure, merit increments, and promotion are applied in the Faculty. Such guidelines must include:

- a) a statement of the relative importance that the Faculty attaches to each of the three functions (teaching, research, service);
- b) a description of how the Faculty interprets the functions, e.g., the various activities that the Faculty defines as legitimate and appropriate forms of expression;
- c) a description of how the Faculty applies external informrep53gthe reprot0011 Tc -0.0002 Tw (

recommendations for tenure;

- ii) how accomplishments in teaching, research, and service are translated into recommendations for promotion from rank to rank;
- iii) how outstanding performance is translated into merit increments by the Faculty Promotions Committee;
- iv) what constitutes unsatisfactory performance;
- v) how leaves are accounted for in the evaluation of performance for the purposes of tenure, merit assessment, and promotion.

3.5.5 The General Promotions Committee may review the Faculty guidelines and, if necessary, direct that appropriate revisions be undertaken at the Faculty level to ensure University-wide equity and conformity with University standards.

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FRAMEWORK

The work of the Faculty of Education involves scholarship in various forms and service in various forms. In this document scholarship is taken to include at least four forms: the scholarship of discovery, the scholarship of integration, the scholarship of application and the scholarship of teaching (Boyer, 1990; Glassick, Huber and Maeroff, 1997). The four are distinct but also connected and sometimes overlapping. It should be noted that the scholarship of application includes some activities that are a form of service.

The scholarship of discovery is closest to what academics customarily mean by research. It involves the formulation of new knowledge, the pursuit of academic questions and observations, and the creation of works of art. It is foundational to the work of a university.

The scholarship of integration is closely related to that of discovery and includes multi-disciplinary, interdisciplinary, or international work, a response to the old adage that the cutting edge is where two or more fields meet, where expertise is brought to bear from differing perspectives. Integrative work also involves putting research or other knowledge into larger contexts and seeking the patterns and trends which show meaning and significance. The approach sometimes taken by granting agencies of requiring multiple participants in a project lends itself well to integrative scholarship.

The scholarship of application includes applying the knowledge and expertise of the academy to the addressing of significant problems in society or in international settings. It is the work that is sometimes thought of as merging theory and practice, as it seeks to improve professional practice. It is interactive work; the issues of professional practice influence discovery, as surely as discoveries are applied to practice.

The scholarship of teaching is at the heart of the crucial work of the academy: educating others, and doing so in a compelling fashion that intrigues students into scholarship themselves. When teaching is scholarly, it is dynamic; the teacher is a thoughtful and well-informed guide for students, but also a learner. Scholarly teaching fosters active learning and critical and creative thinking.

There is synergy amongst these forms of scholarship, as work done in one area provides leads, critiques or stimuli for work that is being done, or might be done, in another area. That dynamic relationship enlivens and strengthens the work contributed by a faculty member, and gives support to the idea that it

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is beneficial, even necessary, for a faculty member to engage in more than one form of scholarship.

This conceptualization of scholarship is a natural fit for the Faculty of Education in that faculty members work in all four areas and the Faculty values work done in each area.

Service is a form of scholarship when it involves a faculty member's academic expertise. For example, serving on a government committee to develop policy or curriculum in the area of one's expertise is a form of the scholarship of application. Another form of service is active involvement in the day to day governance of the University. Society and organizations, including the University, function well only when the members are prepared to contribute effectively to governance and leadership. Each form of service is recognized and valued.

Assessing each area of scholarship and service fairly and effectively is a challenge. The scholarship of discovery is the easiest to assess, since it has well-established traditions, such as peer evaluation of research grant proposals, of papers submitted for journal publication, etc. (Glassick, Huber and Maeroff, 1997). Universities have typically been much less effective in the assessment of teaching, even when teaching has been a valued activity. Student evaluations are a necessary but insufficient way of assessing teaching. Peer classroom observations of teaching when done by someone who understands teaching are an effective form of assessment, but very time-consuming. Teaching portfolios can be a useful way of presenting evidence of the quality of teaching, but teachers putting them together all too

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Reflective Critique

Does the scholar critically evaluate his or her own work? Does the scholar bring an appropriate breadth of evidence to his or her critique? Does the scholar use evaluation to improve the quality of future work?

(Glassick, Huber and Maeroff, 1997, p.36)

It should be noted that these suggestions for assessment require further consideration before they can be fully implemented. For example, meeting goals cannot be used as a criterion unless the goals have been articulated at the beginning of the year and agreement reached between the faculty member and the administrator concerned.

This APT supplement, approved by the Faculty of Education Council, is the official guideline for appointment, assessment and promotion purposes, until further revised or amended. But in its present iteration it is also a work in progress, in which further development can be undertaken in the laying out of criteria for quality work and for assessment in each of the five areas noted.

Boyer, E. (1990). *Scholarship Reconsidered*. The Carnegie Foundation for the Advancement of Teaching. Princeton, NJ: Princeton University Press.

Glassick, C.; Taylor Huber, M.; and Maeroff, G. (1997). *Scholarship Assessed: Evaluation of the Professorate*. The Carnegie Foundation for the Advancement of Teaching. San Francisco, CA: Jossey-Bass.

GUIDELINES FOR ASSESSING QUALITY IN SCHOLARLY ACTIVITY

The following descriptions are illustrative, not prescriptive. They are intended to suggest the range of possible activities which are valued and to offer guidance on what constitutes unsatisfactory, satisfactory and meritorious work. For all categories of scholarship, outstanding work is that which is prominent and exceptional to the point that it exceeds meritorious, as the latter term is defined below.

Expectations increase with academic rank and with seniority within a rank, especially as they pertain to the quality of work accomplished in each area.

Sound judgement and good sense should always take precedence over counting and weighting when assessing and interpreting the contributions of Faculty members.

On-going professional development (e.g. taking courses, going to conferences, continuing to read in one's area) is a normal expectation.

The Scholarship of Teaching and Application

The Faculty of Education values teaching and application as vital forms of scholarly activity and is committed to excellence in both areas. Teaching and application occur in diverse forms and formats [see 3.2.1] and for various audiences. In the Faculty's work, they are done on and off campus and by distance delivery. They also include supervision of various forms of field experiences and practica, program design and implementation, writing of handbooks and curriculum documents, preparation of program evaluations, as well as work with professional groups and in post-degree continuous learning settings. Involvement in international programs facilitated by the Faculty is another valued form of teaching and application. Faculty members are expected to be proficient in a variety of teaching and application roles.

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Assessment of Teaching and Application

Teaching and application are assessed using both qualitative and quantitative means. An analysis is done of the results of student ratings, both from the University mandated rating system and from the Faculty's elicitation of narrative assessments. Student ratings are considered carefully in the wider context of qualitative information and particular circumstances. Other activities taken into account include, but are not limited to: field experience supervision, graduate student supervision and graduate student committee participation, and seminars or workshops with professional groups. Faculty members should document all teaching and application activities in their annual reports and should present with their annual reports a brief account of any atypical teaching activities, exceptional contributions or innovative accomplishments.

Unsatisfactory Performance

Following are indicators of "unsatisfactory performance" in teaching:

- Frequent reports of being inaccessible to students
- Cancellation of classes without giving notice or providing acceptable reasons
- Failure to follow faculty-approved policies and procedures on course outlines, hours of teaching, or grading procedures
- Frequent poor evaluations from students
- Prejudicial or disrespectful treatment of students
- Poor quality of graduate supervision or reluctance to undertake one's fair share of supervision within one's area of expertise
- Failure to challenge students intellectually while still respecting their right to freedom of ideas
- Serious and supported complaints made to the Dean or the Divisional Associate Dean
- A continuing pattern of marginal performance in teaching
- No evidence of effort to improve upon a form of teaching rated poorly in the past

Satisfactory Performance

Indicators of "satisfactory" teaching include:

- On-going revision and updating of courses or teaching materials
- Being supportive of student expression of ideas, along with challenging students in order to foster

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and beneficial to the student.

- Recognized innovation in professional (including teaching) practice
- Development of supplemental teaching materials
- Program development, including development of new courses to support a revised or innovative program for both on-campus and distance education
- Teaching students, educational administrators, or professors in international settings
- Mentoring colleagues, graduate students or teaching assistants to improve quality of teaching
- Mentoring students from other countries who are studying at University of Calgary
- Receiving a teaching award

The Scholarship of Discovery (Research) and Integration

Discovery and integration include research in various forms and the associated writing, publishing and creative activity, particularly publishing peer-reviewed work. Also included are collaborative projects across specializations and disciplines leading to critical and creative interpretations and assessments of significance. Scholarship includes a range of scholarly activities, and the performance of a faculty member is assessed on the range of scholarship presented, with research as a vital part of that scholarship.

Interdisciplinarity and international work are not required of each faculty member but are recognized and valued when they occur.

All varieties of research methods (e.g. scientific, humanistic, interpretive, positivistic, critical, artistic, analytic) are valued by the Faculty, provided the work is rigorous and of high quality. The assessment of the quality and significance of the writing includes but is not limited to such factors as peer review, venue, breadth, length, reception by other scholars, and type of presentation. Such writing may be single-authored or collaborative.

For purposes of annual assessments, items in press will be noted as evidence of on-going scholarly activity, but will be credited for the year in which publication occurs.

Items identified as “in press” should have been accepted for publication and should be accompanied by some evidence, such as a note from an editor, indicating acceptance.

Peer-reviewed publications or presentations recognized by the Faculty include, but are not limited to:

- Authored book
- Edited book
- Monograph
- Article in journal
- Book chapter
- Paper published in conference proceedings
- Full text paper presented at a conference
- Presentations to academic or professional conferences
- Reports or other documents prepared for the profession and scrutinized or evaluated by a relevant professional body

Other publications or presentations recognized by the

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- Report writing that arises from work on international projects

Examples of scholarship include, but are not limited to:

- Giving an invited professional conference presentation
- Organizing an academic or professional conference or lecture series
- Participation in academic or professional conferences as a session chairperson, panel member or discussant
- Involvement in the development of international projects (e.g., proposal writing, project planning)
- Participation in international research consortia or projects
- Editing a journal or a special issue of a journal
- Serving on the editorial board of a scholarly journal
- Peer reviewing academic and professional texts, manuscripts, major research grant proposals, audio-visual programs and materials, or computer software
- Receiving research grants, either as an individual or as a member of a group of researchers
- Obtaining grants in support of evaluation projects
- Participation in collaborative school-based research
- Conducting research as part of program development or teaching
- Conducting unfunded research
- Development of professional materials and programs which are copyrighted
- Preparation of research proposals for funding
- Preparation of research proposals for conference presentations
- Writing related to education: creative writing, drama scripts, musical scores, recordings, or computer software

Reference should be made to both the GFC and Faculty documents on Outside Professional Activity for guidance on how OPA is regarded for assessment and promotion purposes.

Assessment of the Scholarship of Discovery and Integration

Unsatisfactory Performance

Unsatisfactory performance is related to unproductive periods in scholarly activity (as defined immediately above) and to an accumulation of such factors as:

- Minimal or no scholarly work in publications or conference presentations
- Minimal or no scholarly work in research generation or maintenance
- Minimal or no scholarly service on editorial boards or in conference organizations
- Minimal or no scholarly work in progress
- Minimal increase in productivity or quality of scholarly work in the manner expected within a professorial rank
- A continuing pattern of poor scholarly work

Satisfactory

Performance is satisfactory if a faculty member has accomplished or is engaged in a variety of scholarly activities (as defined above).

Meritorious

Meritorious scholarly activity includes, but is not limited to:

- Receiving a major research grant
- Publication of an authored or edited book
- Editing a journal
- Being a keynote speaker at a major scholarly conference
- Publishing peer reviewed scholarly articles

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- Activity that carries a high level of responsibility and leadership
- Active involvement in the organization of Faculty international projects and effective leadership of a team doing international work
- Extensive participation in governance at the University at the Division, Faculty or University level

ANNUAL MERIT ASSESSMENT

In the Faculty of Education, scholarship (discovery, integration, application and teaching) and service are valued. These may be clustered into the three categories of: teaching and application, discovery and integration, and service, in order to align more readily with the University APT document. For annual merit purposes, faculty members are expected to demonstrate significant accomplishments in each of the three.

Exceptions are possible. A faculty member may request a different weighting of the three areas for a given year or number of years. Such an arrangement must be made prior to the commencement of the reporting period by agreement in writing between the faculty member and either the Divisional Associate Dean or the Dean.

However, faculty members should note that such agreements are temporary and apply only to assessments for those years in which pre-arrangements have been made. For tenure and promotion, a balanced record of achievement across the three areas is required.

Merit increments should be awarded in such a way as to reflect accurately a faculty member's path towards promotion.

Assessments of faculty members who hold administrative appointments will give proportionally greater weight to service so that the larger the portion of an individual's time assigned to administration, the greater the significance of service in the assessment.

For faculty holding the rank of Instructor or Senior Instructor, the duties focus on the scholarship of teaching and application, with attention also to service. There is no expectation of engagement in research beyond the scholarship required to maintain currency in the field, although additional scholarship is valued when it is done. Therefore, merit assessment of instructors will be based on the work in teaching, application and service, (and research if applicable) commensurate with the proportion of duties outlined in the letter of appointment.

The University allots a fixed number of merit increments to the Faculty, based on the number of full-time equivalent positions, irrespective of rank. The Dean allocates increment units to each Division and Program again according to the number of positions, and this becomes the basis on which letters of assessment are initially prepared. The Faculty Promotions Committee is charged with ensuring that this distribution is equitable across the Faculty and making any necessary adjustments. The increment units allocated by the University to the Dean reflect the number of academic positions, but do not in any sense indicate a norm for merit awards. Hence, descriptors and norms follow.

Performance descriptors and merit increments are equated as:

Unsatisfactory:	0.0
Satisfactory: (to varying degrees)	0.4 and 0.6
Meritorious: (to varying degrees)	0.8 and higher

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LEAVES OF ABSENCE

When an academic appointee is on authorized leave away from University responsibilities (e.g., parental leave, extended sick leave, etc.), the expectations for productivity in service, scholarship and teaching shall be prorated to be congruent with the proportion of the calendar year that the professor was not on leave. For example, if a professor is on parental leave for 6 months, the expectation is for half as much work as normally would be expected in a full year. Thus, a “normal” six month body of work would reasonably lead to a “normal” increment. This is the case whether or not any of the work was actually produced during the leave time. A faculty member shall not be penalized in any way for interruption in academic productivity during a leave.

An exception to the above policy is a sabbatical leave, in which an appointee remains active in the employ of the University, but is excused from teaching and service responsibilities. If the sabbatical leave spans two calendar years, the first part of the leave will be assessed as indicated above. For the year in which the final portion of the leave occurs, or for the whole leave if it is all in one calendar year, the assessment of work done during the leave will be made by a comparison of the sabbatical report with the sabbatical plan. If career or University enhancing opportunities arise during the sabbatical leave and the faculty member chooses to take advantage of them and therefore does not adhere to the approved sabbatical plan, these activities must be described and justified in the Sabbatical Report and the Annual Report.

Fellowship leaves (e.g. Killams) are assessed on the basis of the proposed scholarly activity.

- 3.6 Requirements for Assistant Professor
 - 3.6.1 Appointment to the rank of Assistant Professor normally requires evidence of successful teaching ability or professional experience, with evidence of appropriate research or professional activity beyond that involved in the completion of academic or professional training.
- 3.7 Requirements for Associate Professor
 - 3.7.1 Appointment or promotion to the rank of Associate Professor requires evidence of teaching effectiveness, recognized research attainment or equivalent professional attainment, and a satisfactory record of service.
 - 3.7.2 When the teaching function is assessed, evidence of effective performance respecting graduate programs and the supervision of and involvement with graduate students shall be considered, where appropriate.
- 3.8 Requirements for Professor
 - 3.8.1 The rank of Professor is reserved for those, who in the opinion of colleagues, within the University and beyond, are outstanding in their discipline.
 - 3.8.2 Appointment or promotion to the rank of Professor requires evidence of teaching effectiveness. When the teaching function is assessed, evidence of effective performance

respecting graduate programs and the supervision of and involvement with graduate students shall be considered, where appropriate.

- 3.13.2 The nature and extent of the duties of an Adjunct or Clinical appointment shall be decided by mutual agreement between the academic appointee and the Dean or Head, subject in the latter case to the approval of the Dean. The agreed duties shall be incorporated within the letter of appointment.
- 3.13.3 In exceptional circumstances, a Dean or Head may request the approval of the Dean of Graduate Studies or, when appropriate, the Dean of the Faculty of Environmental Design for an appropriately qualified Adjunct or Clinical appointee to participate in the supervision of graduate students.
- 3.13.4 Faculties having Adjunct or Clinical appointees shall establish criteria for the assessment of Adjunct or Clinical appointees that maintain the spirit of the criteria for the Rank while maintaining cognizance of the special nature of the form of appointment as well as any expectations spelled out in specific letters of appointment.
- 3.14 General Requirements for Academic Staff (Administrative and Professional)
- 3.14.1 Criteria respecting the appointment, promotion, and performance assessment of Academic Staff (Administrative and Professional) are to be determined in accordance with the particular duties and responsibilities of the position or rank.
- Librarians
- 3.14.2 The criteria respecting Librarians shall be established by the Director of Information Resources in consultation with and with the approval of a majority of the Library Council subject to the subsequent approval of the Provost & Vice-President (Academic).
- Counsellors
- 3.14.3 The criteria respecting Counsellors in Student and Academic Services shall be established by the Chief Academic Officer for Student Affairs in consultation with and with the approval of a majority of the persons holding academic appointments as Counsellors subject to the subsequent approval of the Provost & Vice-President (Academic).
- Others
- 3.14.4 The duties and criteria respecting Academic Staff (Administrative and Professional) in all other areas at the time of approval of these Procedures shall be established by the appropriate Vice-President or delegate with due regard to the historic duties of the position and after meaningful consultation with the current appointee. The duties and criteria so established shall be subject to the approval of the Provost & Vice-President (Academic).
- 3.14.5 A review of the approved duties and criteria established through Section 3.15.4 for an academic staff position (Administrative and Professional) may be initiated by either party prior to the commencement of a calendar year. The review and any modification of the criteria and duties shall be carried out by the same process outlined in Section 3.15.4.
- 3.14.6 The duties and criteria respecting Academic Staff (Administrative and Professional) appointed after the approval of these procedures shall be established and reviewed in the manner outlined in Section 4.3.12.
- 3.15 Change of Appointment Class

- 3.15.1 In no case shall the President recommend that an academic appointee (Teaching and Research) be appointed to an academic appointment (Administrative and Professional) without the Provost & Vice-President (Academic) having first been satisfied by the recommending Dean or equivalent that the appropriate appointment procedures and criteria for the proposed Administrative and Professional position have been applied in the normal manner.
- 3.15.2 In no case shall the President recommend that an academic appointee (Administrative and Professional) be appointed to an academic appointment (Teaching and Research) without the Provost & Vice-President (Academic) having first been satisfied by the recommending Dean or equivalent that the appropriate appointment procedures and the criteria of the proposed rank of Teaching and Research appointment have been applied in the normal manner.

Faculty of Education

editorial review boards or recognized journals, executive positions in scholarly associations, awards of distinction

- Research grants and contracts received
- Assessments from eminent scholars, normally full professors, or other outstanding individuals external to the University attesting that the applicant is a distinguished scholar with a national, or both a national and an international, reputation.
- Meritorious teaching, including successful supervision of graduate students
- Service to the Division, Faculty, University and community
- Any other evidence the applicant deems relevant

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- Evidence of being a successful scholar of teaching and application, in teaching effectiveness, creativity, initiative, innovation, and breadth, as well as involvement in program development. (Such evidence should include teaching evaluations, teaching materials developed partly or entirely by the candidate, letters of reference from a supervisor familiar with the teaching work, as well as other relevant information.)
- Evidence of being thoroughly familiar with the current literature of the discipline

CRITERIA FOR APPOINTMENT *WITH TENURE*

A candidate for tenure should have a record of merit increments that are at the high end of the satisfactory range or better. That is, competence in the three areas (teaching, research and service) should have been demonstrated, commensurate with the candidate's academic rank.

The Academic Appointment Review Committee shall make a judgement of both the candidate's contributions to date and the potential for on-going contributions.

The candidate's academic career (at least from graduate school onward) will be considered, including any academic work done prior to arrival at University of Calgary.

Assistant Professor

Requirements for tenure normally include:

- A doctoral degree in an appropriate discipline
- Evidence of successful teaching (for example: student evaluations of teaching, materials developed by the candidate, successful supervision of master's students and participation on examining committees)
- Evidence that a research program beyond the doctoral dissertation is being established and is on-going
- A publications record (for example: articles published in refereed journals, other publications such as book reviews or research notes, participation in conferences, application for research grant(s), and evidence of writing in press or submitted)
- A record of service to the Division or Faculty
- In-service teaching or collaborative work done for the profession

Associate Professor

Requirements for tenure normally include:

- A doctoral degree in an appropriate discipline
- Evidence of continuous successful teaching (for example: student evaluations of teaching, innovative development of teaching concepts and materials, successful supervision of graduate students and participation on doctoral committees where applicable)
- Evidence of a fully established research program and of research contributions recognized by other scholars in the field, including a publications record (for example: articles published in refereed journals, book chapters in academic publications, other academic publications)
- Other scholarly activities (regular participation in conferences, receipt of research grant(s), participation in scholarly activities such as editorships or critical peer reviews)
- A record of service to the Division, Faculty or University and to professional organizations
- Substantial contributions to professional development (such as in-service teaching, field-based or other collaborative work, professional conference presentations or articles)

Full Professor

Faculty of Education

A Full Professor shall be an excellent scholar with a strong record in teaching and research and a national or international scholarly reputation.

Requirements for tenure normally include:

- A doctoral degree in an appropriate discipline
- Evidence of excellent teaching
- A record of successful supervision of strong graduate students and the ability to recruit promising students
- A research program which demonstrates substantial and continuing contributions to advancing theory and practice in education, and in which both quality and quantity of work accomplished are significant
- A record of service that includes contributions at all levels of university governance and in the professional community.

Instructor

Requirements for tenure normally include:

- A graduate degree in an appropriate discipline or appropriate professional qualification
- Successful teaching and evidence of a developing record in the scholarship of teaching and application (such as teaching evaluations, teaching materials developed partly or entirely by the candidate, letters of reference from a supervisor familiar with the teaching work, or other relevant evidence)
- Evidence of a developing record in the scholarship of application, such as in-service teaching, collaborative work done for the profession, or other relevant evidence
- Evidence of being thoroughly familiar with the current literature in the discipline
- A record of service to the Division or Faculty
- A record of merit increments that are at the high end of the satisfactory range or better. That is, competence in teaching and application, along with a solid record of service should have been demonstrated.

Senior Instructor

Requirements for tenure normally include:

- A doctoral degree in an appropriate discipline
- Evidence of successful teaching (for example: student evaluations of teaching; teaching materials developed by the candidate; a creative approach to the teaching function; and where applicable, successful supervision of master's students and participation on examining committees)
- Evidence of being a successful scholar of teaching and application, in teaching effectiveness, developed and demonstrated.

SECTION 4: PROCEDURES FOR SELECTION AND APPOINTMENT

The following procedures are designed to ensure that the President has the benefit of informed academic staff opinion in discharging the responsibility under the Post Secondary Learning Act for recommending appointments to the Board of Governors.

4.1 Definition of Academic Vacancies

4.1.1 It is the responsibility of the Dean or equivalent, subject to the approval of the Provost & Vice-President (Academic), to define the nature of any vacancy to be filled. Such definition shall be made in the context of University and Faculty planning decisions and should follow consultation with affected disciplinary groups.

4.1.2 It is the responsibility of the Provost & Vice-President (Academic) and the Position Reallocation Committee, subject to the approval of the President, to allocate any academic position to a Faculty or equivalent and to authorize the initiation of an academic selection process.

4.1.3 It is the responsibility of the Dean or equivalent to obtain any approvals or permissions, as may be required under University policies, from the Provost & Vice-President (Academic) prior to the initiation of academic selection procedures.

4.2 Advertising

4.2.1 Prior to the recommendation of any persons for a Continuing, Contingent Term, or Limited Term appointment, such a position shall be advertised to the campus community and nationally. (For procedures governing reappointments see SECTION 5: APPOINTMENT REVIEW AND RENEWAL, and in particular Sections 5.1 and 5.2.)

4.2.2 Term Certain appointments may be advertised as time and circumstances permit.

4.2.3 Advertisements should contain formal notice of the University's compliance with legal and institutional policies on immigration, non-discrimination, employment equity, and similar employment-related matters.

4.2.4 Adjunct or Clinical appointments need not be advertised.

4.3 Academic Selection Procedures

4.3.1 In discharging the responsibility for recommending academic appointments to the Board of Governors, the President shall be advised by the Provost & Vice-President (Academic).

4.3.2 The Provost & Vice-President (Academic) shall seek the advice of the appropriate Dean or equivalent before recommending any academic appointment to the President.

Selection Procedures for Continuing Academic Appointments (Teaching and Research)

4.3.3 During the selection process, all parties shall be governed with respect to Article 7.1 of the Collective Agreement between the Governors and the Faculty Association of the University of Calgary:

The Parties agree that the Governors, the Association, and the members of the Association shall not discriminate against any member of the academic staff by reason of race, political or religious affiliation or beliefs, colour, sex, sexual orientation, gender identity, physical characteristics, marital status, family relationships, age, ancestry or place of origin, or membership or activity in the Association as provided under the terms of this Agreement.

- 4.3.3.1 An applicant may write to the Provost & Vice-President (Academic) regarding concerns related to Section 4.3.3. The applicant is encouraged to send a copy of correspondence to the Faculty Association. After appropriate review and consultation, the Provost may take whatever action, if any, is deemed necessary.
- 4.3.4 To assure that the advice given by the Dean to the Provost & Vice-President (Academic) has had the benefit of the informed academic staff opinion required by the President, each Faculty Council is required to establish a formal Academic Selection process, advisory to the Dean, for all appointments of more than twelve months duration. The Extraordinary Procedures for Expedited Spousal Hiring in Section 4.8 shall be considered the equivalent of the formal Academic Selection process for all purposes.
- 4.3.5 The Extraordinary Procedures for Expedited Spousal Hiring in Section 4.8 shall be considered the equivalent of the formal Academic Selection process for all purposes.
- 4.3.6 Similar competitive procedures shall be followed in selecting candidates for Contingent Term and Limited Term appointments, with the exception, that the Academic Selection process set out below need not be followed for the selection of candidates for Contingent Term appointments where the appointment is linked to a selection process established by an external funding agency if the waiving of the normal procedures receives the approval of the Provost & Vice-President (Academic) upon the recommendation of the appropriate Dean.
- 4.3.7 The required Academic Selection process established by the Faculty shall be structured in a manner appropriate to the specific Faculty while being consistent with general University policies including the employment equity policy in Section 1.2.4. The process shall be approved by a majority of the Faculty Council concerned and the Provost & Vice-President (Academic) and shall provide for:
- a) a formal Academic Selection Committee of appropriate size, consisting of the following:
 - I. Dean or delegate - normally the relevant Head in departmentalized Faculties, Chair (voting only to break a tie);
 - II. a majority of voting members drawn from the Continuing, Limited Term or Contingent Term academic appointees of the Faculty (In large or departmentalized Faculties, all but one of the members from a Faculty should be drawn from the affected disciplinary group e.g. the appropriate Department from within the Faculty);
 - III. at least one Continuing, Limited Term or Contingent Term academic appointee (voting) from outside the Faculty. Faculty guidelines should define the role of the external member.
 - IV. a Faculty Council may provide for senior student participation on a selection committee or may establish other mechanisms for informed student opinion to be taken into account.

Both genders shall be included in the Committee.

Faculty of Education

deadline for receiving applications has passed, the Committee shall review all applications received and shall determine a short-list of candidates ranked in order of preference. Or, the Committee may consider applications as they arrive until the position has been filled. In this case, the entire Committee shall review each application.

Where the number of applications so warrants, the Committee may divide responsibility for initial review of applications amongst its members as it considers appropriate, but all members of the committee shall be involved in establishing the short-list. The Committee shall attempt to determine its short-list by consensus. Should the Committee be unable to arrive at consensus, the views of the majority of the full committee shall prevail. In the latter case, the Chair shall report to the Dean concerning the Committee's inability to reach consensus. Canadian citizens or landed immigrants shall have first priority, when qualifications are equivalent.

An Academic Selection Committee may recommend to the Dean that no applicant appears appropriately qualified for the appointment under consideration and may then make whatever recommendations it judges appropriate with respect to re-advertisement.

Short-listed candidates shall be invited to the Faculty for interview(s) and public presentation(s). In addition to meeting with the Selection Committee and the Dean (or designate), short-listed candidates shall make a public presentation of their academic work and research; they may also be asked to lead a student seminar relevant to the appointment, and shall be available during their time on campus for meetings with individual faculty members and students.

When short-listed candidates have been interviewed, the Committee shall develop a final list of these candidates ranked in order of preference according to the criteria earlier set out by the Committee. Only candidates who are qualified for the vacancy shall be included on the final list to be recommended to the Dean. A rationale for the rankings shall be developed to accompany the list. A Committee may choose, for good reason, to recommend no candidate.

The required records of the Committee's proceedings shall be maintained in the Dean's Office.

4.4 Selection Procedures for Academic Appointments (Administrative and Professional)

Academic Staff in Information Resources

4.4.1 Selection procedures for all ranks of Librarians, Archivists, and Curators shall be similar to those outlined in Section 4.3 for Academic Appointments (Teaching and Research). A formal Academic Selection process established by the Information Resources Council, shall be advisory to the Director, Information Resources.

4.4.2 An appointment With Tenure shall not be recommended for an appointment at the rank of Assistant Librarian, Assistant Archivist, or Assistant Curator.

4.4.3 In cases where a Faculty or other unit wishes to appoint to a Librarian rank, the Dean or equivalent and the Director of Information Resources shall jointly establish a selection process that satisfies the interests of both communities.

Counsellors

4.4.4 Selection procedures for all ranks of Counsellors shall be similar to those outlined in Section 4.3 for Academic Appointments (Teaching and Research). A formal Academic

Selection process established by a majority of the Counsellors, shall be advisory to the

on appointment, merit, tenure, and promotion, the Dean or the Provost & Vice-President (Academic) shall establish appropriate alternative administrative jurisdiction at the next administrative level for the duration of the situation.

4.5.3.1 The nature of that alternative administrative jurisdiction shall be conveyed in writing to the academic appointee and other affected parties by the Dean or Provost & Vice-President (Academic) at the commencement of the arrangement.

4.5.4 In all cases of family or consensual relationships, there shall be an obligation on the affected members of the family or relationship to bring the situation to the attention of the appropriate Dean or the Provost & Vice-President (Academic).

4.6 External Obligations

4.6.1 During appointment negotiations and prior to the signing of the letter of appointment, individuals selected for Continuing, Contingent Term, or Limited Term appointments must declare any employment obligations to, or contractual relationships with, any other institution or organization if these obligations or relationships shall remain in effect after acceptance of appointment to the academic staff of the University of Calgary.

4.7 Letter of Appointment

4.7.1 Previous correspondence with Deans or Heads notwithstanding, only the President, or designate, may send the official and binding letter of offer of an academic appointment on behalf of the Board of Governors to the candidate. This letter of appointment shall specify terms and conditions of employment, which shall include an outline of the general duties and responsibilities.

4.7.2 When an academic appointee is to hold appointment in more than one Faculty, Department, or Unit, the letter of appointment shall clearly state which Faculty's (Unit's) promotion and assessment procedures and criteria shall prevail.

4.7.3 If an academic staff member holds an appointment in a unit that has no Faculty Guidelines, the letter of appointment shall clearly state the duties of the position and the initial criteria against which performance shall be assessed.

4.8 Extraordinary Procedures for Expedited Spousal Hiring

It may from time to time prove to be in the University's best interest to act expeditiously in order to be able to:

a) make employment offers to both members of a marriage or domestic partnership in which both have academic qualifications, but where no Limited Term, Contingent Term, or Continuing position has been advertised suitable for one of the spouses: or

b) make employment offers to the spouse of an existing Limited Term, Contingent Term, or Continuing academic staff member for retention purposes.

Definitions

4.8.1 For purposes of these procedures:

a) "Dean" refers to the person who makes academic appointment recommendations to the Provost & Vice-President (Academic).

- b) “Destination Faculty” or “Destination Unit” refers to the Faculty, Department or other academic unit (as determined by a Faculty Council under Section 4.8.11) in which it is proposed to find a position for the Secondary Spouse.
- c) “Home Faculty” or “Home Unit” refers to the Faculty, Department or other academic unit of the Primary Spouse.
- d) “Primary Spouse” means the member of a marriage or domestic partnership who has been recommended for an offer of appointment under Sections 4.1 to 4.4, or who currently holds a Limited Term, Contingent Term or Continuing academic appointment.
- e) “Secondary Spouse” means the spouse or domestic partner of a Primary Spouse who has the qualifications to hold an academic staff appointment (Teaching and Research) or (Administrative and Professional) and who desires to do so.

Application

- 4.8.2 Extraordinary Procedures for Expedited Spousal Hiring may be used to offer an academic staff appointment (Teaching and Research) or (Administrative and Professional), to a Secondary Spouse where
- a) the offer will be made simultaneously or nearly simultaneously with an offer to the Primary Spouse and neither of the spouses is currently employed by the University,
 - b) the offer will be made to a spouse who currently holds a special Limited Term position under Section 4.8.12, or
 - c) the Primary Spouse currently holds a Limited Term, Contingent Term, or Continuing academic staff appointment

Procedures

- 4.8.3 These procedures shall be invoked only by the mutual agreement of the Deans of the Home and Destination Faculties.
- 4.8.4 The Committee to be used in the Expedited Spousal Hiring Process shall be the Academic Selection Committee, as established in 4.3.7, with the addition of a non-voting Faculty Association representative who shall be required for quorum.
- 4.8.5 The Dean shall notify all Committee members of the projected timing of the process, and shall supply each of them with copies of these procedures. This memo will be accompanied by a CV provided by the Secondary Spouse.
- 4.8.6 In this memo the Dean of the Destination Faculty shall additionally state clearly two things: (1) the nature of the initial funding of the proposed position, the duration for which this funding is promised, and if the funding is of limited duration the possibilities for continued funding of the position after the initial funding runs out; and (2) the implication this hiring would have with respect to other hiring in the Unit’s future – specifically whether this hiring would count as a regular hiring or whether it would be considered to be in addition to and outside of the Unit’s hiring agenda.
- 4.8.7 It will be the responsibility of the Secondary Spouse to supply a complete CV, the names

of three individuals to be contacted for written references, copies of selected recent publications (or disciplinary equivalents), and information relating to teaching effectiveness (where possible), by a date which shall be specified by the Dean. These shall be made available to academic staff members in the Destination Unit, for review in the Destination Unit's administrative office for no less than five work days. It is understood that the publications may be photocopied or reproduced by the Unit concerned and circulated as a means of expediting the diffusion of relevant information.

- 4.8.8 The Dean of the Destination Faculty shall arrange, not at the expense of the Destination Unit, for at least one professional presentation to the Destination Unit by the Secondary Spouse and shall provide opportunities for informal meetings with interested members of the Destination Unit and an interview with the Committee. The Dean shall seek letters of reference from the individuals identified by the Secondary Spouse. The letters shall be presented to and remain confidential to the members of the committee.
- 4.8.9 Following the presentation to the unit, the Head of the Destination Unit shall solicit comments from all members of the unit. The members of the Unit shall be given at least five working days to provide such comments to the Head. These comments shall be provided to the Committee by the Head.
- 4.8.10 As soon as possible after all of the provisions of 4.8.7, 4.8.8, and 4.8.9 have been carried out, the Dean of the Destination Faculty shall convene a meeting of the Committee to consider the proposed hiring.

SECTION 5: APPOINTMENT REVIEW AND RENEWAL

- b) the incumbent was originally selected according to the competitive procedures of Section 4.2;
- c) the incumbent has received assessments in the normal manner, that have acknowledged satisfactory performance of the normal range of duties expected of a Continuing academic appointee according to the criteria in the appropriate part of Section 3;
- d) all circumstances under Section 2.3.5 that warranted the Limited Term appointment have been removed.

5.2.4 Consideration in this case may result in the offer of a Continuing position, or a declaration that the incumbent does not meet the requirements of the Continuing position, or a decision to proceed to an advertised competition.

5.3 Recognition of Previous Service

5.3.1 In cases of first appointments, the length of the Initial Term may be reduced if there has been relevant previous career service.

5.3.2 In the cases of persons who have previously held University of Calgary full-time Specific Term appointments, the Dean shall take account of all of the relevant previous service when recommending the length of the Initial Term.

5.3.3 In situations when the Specific Term service will not be contiguous with the proposed Initial Term, that previous service may be taken into account if the interruption in service does not exceed five consecutive months between the completion of the qualifying service

permitted to lapse. The process regarding the renewal of Initial Term appointments takes place toward the end of the penultimate year of the Initial Term appointment. The process regarding appointment With Tenure will normally take place toward the end of the penultimate year of the two-year renewal.

- 5.4.6 An Instructor appointed on an Initial Term basis shall be considered for reappointment in the same manner as Assistant Professors under Section 5.4.5.

Deferral

- 5.4.7 At any time prior to May 1, an academic appointee in the normal year for consideration for renewal of Initial Term or for an appointment With Tenure may be granted the following types of deferral:
- a) Personal Deferral: An academic appointee may defer consideration for a period of one year by notifying the Dean (or equivalent) in writing. This deferral may occur at the time of renewal of Initial Term or on appointment With Tenure, but not both.
 - b) Dean's Deferral: A Dean (or equivalent) may initiate a one-year deferral when appropriate for compassionate reasons, or to facilitate the completion of an assisted study leave. Should a Dean's deferral be required more than once, the Dean (or equivalent) shall consult with the Provost & Vice-President (Academic).
 - c) Parental Deferral: Maternity and/or Parental Leaves shall result in an automatic one-year deferral of consideration for renewal of Initial Term or for an appointment With Tenure. Note: This deferral does not preclude the academic staff member from applying for consideration for renewal of Initial Term or for an appointment With Tenure according to the original timelines, applying for early consideration, or being eligible for subsequent deferrals.
 - d) Provost Deferral: In exceptional circumstances, the Provost & Vice-President (Academic) may approve or initiate a one-year deferral of consideration for renewal of Initial Term or for an appointment With Tenure.

- 5.4.8 In all types of deferral, the Initial Term appointment shall be extended for one year beyond the termination date. Such deferral, regardless of the number of times granted, shall not interfere with the right of an Academic Appointment Review Committee to grant an extension of an Initial Term appointment under Section 5.7.6.1 b).

Early Consideration

- 5.4.9 While the above procedures represent usual practice, an individual may be offered appointment With Tenure either upon appointment or at an earlier date than that arising from the original appointment.
- 5.4.10 An appointment With Tenure may be offered upon appointment only if so recommended to the Dean by an appropriate standing committee of the Faculty or by the Selection Committee specifically applying the appropriate criteria.
- 5.4.11 An appointment With Tenure may be offered at a date earlier than provided for in the appointment letter if the academic appointee has formally requested that the case be considered by an Academic Appointment Review Committee at an earlier date. Procedures in any case of early consideration shall be the same as for normal consideration. The options available to an Academic Appointment Review Committee in a

case of early consideration shall be those set out in Section 5.7.6.1 (c-f).

- 5.4.12 At any time prior to May 1, an academic appointee who applied for early consideration may withdraw the application. This withdrawal does not constitute a deferral. However, if the withdrawal occurs after February 1, the application counts as one of the maximum of two allowed under Section 5.7.6.2.
- 5.5 Initial Term Appointments (Administrative and Professional)
- 5.5.1 Notwithstanding the effective date of the appointment, and subject to the provisions of Section 5.3.1, an Initial Term appointment for academic staff (Administrative and Professional) shall end on June 30 and shall not be less than forty-six months if it is the first Continuing appointment to the University for the person concerned.
- 5.5.2 The purpose of an Initial Term appointment is to provide a period of mutual appraisal for the University and the academic appointee. The Initial Term appointment implies that the University shall give serious consideration to an appointment With Tenure.
- 5.5.3 Librarians, Archivists, Curators, Senior Counsellors and equivalent positions are normally appointed for a single Initial Term of four years. Consideration for reappointment With Tenure shall take place towards the end of the penultimate year of the Initial Term appointment.
- 5.5.4 All other Academic appointees (Administrative and Professional) are normally appointed for an Initial Term of four years. After this four-year period, an appointment shall be renewed for a further two years or shall be permitted to lapse. The process regarding the renewal of Initial Term appointments takes place toward the end of the penultimate year of the Initial Term appointment. The process regarding appointment With Tenure will normally take place toward the end of the penultimate year of the two-year renewal.

Deferral

- 5.5.5 At any time prior to May 1, an academic appointee in the normal year for consideration for renewal of Initial Term or for an appointment With Tenure may be granted the following types of deferral:
- a) Personal Deferral: An academic appointee may defer consideration for a period of one year by notifying the Dean (or equivalent) in writing. This deferral may occur at the time of renewal of Initial Term or on appointment With Tenure, but not both.
 - b) Dean's Deferral: A Dean (or equivalent) may initiate a one-year deferral when appropriate for compassionate reasons, or to facilitate the completion of an assisted study leave. Should a Dean's deferral be required more than once, the Dean (or equivalent) shall consult with the Provost & Vice-President (Academic).
 - c) Parental Deferral: Maternity and/or Parental Leaves shall result in an automatic one-year deferral of consideration for renewal of Initial Term or for an appointment With Tenure. Note: This deferral does not preclude the academic staff member from applying for consideration for renewal of Initial Term or for an appointment With Tenure according to the original timelines, applying for early consideration, or being eligible for subsequent deferrals.
 - d) Provost Deferral: In exceptional circumstances, the Provost & Vice-President (Academic) may approve or initiate a one-year deferral of consideration for renewal of

Initial Term or for an appointment With Tenure.

- 5.5.6 In all types of deferral the Initial Term appointment shall be extended for one year beyond the termination date. Such deferral, regardless of the number of times granted, shall not interfere with the right of an Academic Appointment Review Committee to grant an extension of an Initial Term appointment under Section 5.7.6.1 b).

Early Consideration

- 5.5.7 While the above procedures represent usual practice, an individual may be offered appointment With Tenure either upon appointment or at an earlier date than that arising from the original appointment.
- 5.5.8 An appointment With Tenure may be offered upon appointment only if so recommended to the appropriate Senior Administrative Officer by an appropriate standing committee of the Unit, or by the Selection Committee specifically applying the appropriate criteria.
- 5.5.9 An Appointment With Tenure may be offered at a date earlier than provided for in the appointment letter if the academic appointee has formally requested that the case be considered by an Academic Appointment Review Committee at an earlier date. Procedures in any case of early consideration shall be the same as for normal consideration. The options available to an academic Appointment Review Committee in a case of early consideration shall be those set out in Section 5.7.6.1 (c-f).
- 5.5.10 At any time prior to May 1, an academic appointee who applied for early consideration may withdraw the application. This withdrawal does not constitute a deferral. However, if the withdrawal occurs after February 1, the application counts as one of the maximum of two allowed under Section 5.7.6.2.
- 5.6 Review of Continuing Appointments (Teaching and Research)
- 5.6.1 A recommendation for the continuation of an Initial Term appointment or for an appointment With Tenure shall be decided upon only after careful consideration. In all cases, the general principle shall be applied that the case must be made by the applicant to the satisfaction of the Academic Appointment Review Committee and the Dean to justify a recommendation for the granting of an appointment With Tenure.
- 5.6.2 The process of consideration shall normally be initiated early in the Fall term of the penultimate year of a current appointment.
- 5.6.3 Early in the Fall term, the Head (or the Dean of a Faculty without formal departmental structure) shall inform all academic appointees eligible for consideration for renewal of an Initial Term or for consideration for appointment With Tenure (excluding those persons who have received approval for deferral of consideration) of the procedures to be followed, and shall provide them with the necessary application forms and Faculty guidelines.
- 5.6.4 The Head (Dean) shall also inform all academic appointees who have indicated an interest in early consideration for an appointment With Tenure of the procedures to be followed, and shall provide them with the necessary application forms and Faculty guidelines.
- 5.6.5 In Faculties or other units without a formal departmental structure, the Dean may fulfill the role of the Head as set forth in Sections 5.6.6 to 5.6.21 or may delegate this to an

appropriate individual such as an Area Chair, a Program Director, an Area Co-ordinator,

- 5.6.14 Referees shall be selected by the Chair according to written procedures established by the Faculty Council.
- 5.6.15 The specific assessments prepared by the referees shall be held confidential to Committees operating under these Procedures.
- 5.6.16 In the case of an instructor being considered for an appointment With Tenure, the requirement for external advice shall be met by seeking the advice of at least two members of the academic staff of the University from outside the Faculty who are recognized for superior teaching abilities. These referees shall be invited to assess the quality and progress of the applicant's teaching and professional performance in accordance with the criteria for the rank as set out in Section 3.
- 5.6.17 The applicant may submit any new relevant information that was not available on February 1 to the Chair of the Committee at the earliest opportunity and, in any event, no later than one working day before the Academic Appointment Review Committee meets. The Chair shall forward all such material to the Committee, which shall decide whether it is reasonable to include consideration of the material in its deliberations.

- 5.6.19 Following the consultation provided for in Section 5.6.18, the Head shall:
- a) fill in the relevant section of the application form based on the applicant's submitted material, the referees' letters, information from the consultation process, and the Head's own evaluation, and
 - b) by April 15, supply to the applicant a copy of the assessment and recommendation and discuss this with the applicant. Following this discussion, the Head may revise the assessment and/or recommendation. The applicant must receive a copy of any revisions at least one week before May 1.
- 5.6.20 By May 1, the Head shall forward the completed assessment and recommendation to the Dean, who shall then forward it to the appropriate Academic Appointment Review Committee.
- 5.6.21 An applicant may formally respond to the Head's assessment on or before May 1. The response shall be in writing and will be submitted to the Head and the Dean. The response shall be included in the documentation submitted to the Academic Appointment Review Committee.

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PROCEDURES FOR APPOINTMENT *WITH TENURE*

The role of "Head" is fulfilled by the Divisional Associate Dean to whom the appointee reports and who makes the annual merit assessments in the first instance.

An Assistant Professor may apply for tenure, typically during the fifth year (when an initial term appointment is followed by a renewal of initial term).

An Instructor or a Senior Instructor shall be considered for a tenure following the procedures identified in this section, with the exception that assessment must be based on the criteria held for Instructors (not those for professors); also, the requirement for external advice shall be met by seeking the advice of at least two members of the academic staff of the University, external to the Faculty and recognized for their superior teaching. The applicant for tenure may suggest two names, one of whom shall be consulted, and the Divisional Associate Dean shall select the other and contact both.

An academic appointee in the professorial ranks seeking an appointment With Tenure shall submit to the Chair of the Academic Appointment Review Committee a maximum of three names of potential referees. Two may be from the appointee's Division or from elsewhere in the University; one must be an eminent academic external to the University of Calgary.

One eminent scholar external to the University of Calgary is selected by the Dean on the advice of the Divisional Associate Dean. Letters of reference, sent to the Chair, shall be made available to the Divisional Associate Dean preparing the recommendation and shall be held in confidence by the Associate Dean.

The appointee seeking appointment With Tenure shall support the application by making available to the Chair of the Academic Appointment Review Committee relevant documentation (copies of: a curriculum vitae; publications; course outlines, evaluations, and teaching materials—or a teaching portfolio; a record of committee work and professional service). Referees will be provided with examples of this documentation on which to base assessments.

Consultation Procedures

- e) a member appointed by the Faculty Association, who shall be present as a participating but non-voting member of the Committee;
- f) at least one participating student representative selected by a process determined by the Faculty Council (non-voting unless determined otherwise by the Faculty Council).

5.7.4.2 An Academic Appointment Review Committee may not meet unless

- d) in assessing research, the Committee shall, in addition to considering the merit of the applicant's various research projects, make a determination whether the applicant has demonstrated the ability to bring research projects to timely conclusions.

- 5.7.5.3 When the recommendation sought is for appointment With Tenure in the instructor ranks, the Committee shall seek evidence that the applicant has been successful in meeting the criteria for the applicant's rank as set out in Section 3. The Committee shall also satisfy itself, based upon the quality and pattern of career performance, that there is a reasonable likelihood that the applicant will be able to sustain a satisfactory pattern of career development as an instructor.
- 5.7.5.4 Throughout the Academic Appointment Review process, the onus shall be upon the applicant to make the case for the award of a renewed Initial Term or the award of an appointment With Tenure.
- 5.7.5.5 Whenever it appears that the Academic Appointment Review Committee is likely to make a recommendation which is less favourable than the recommendation sought by the applicant, the Chair shall call a recess and shall inform the applicant, in writing, of the deficiencies identified by the Committee, including the substance of adverse comments made by the referees. All members of the Committee shall also be given a copy of this document.
- 5.7.5.6 The applicant shall have one week to respond in writing to the Chair. The applicant shall be invited to appear and address the Committee at the outset of the next meeting. The Head or equivalent will also be invited to address the Committee in the applicant's presence. Neither the applicant nor the Head or equivalent shall be present during any of the deliberations of the Committee following these presentations.
- 5.7.5.7 An applicant in attendance with respect to consideration under Section 5.7.5.6 may be accompanied by an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the Committee the applicant shall inform the Chair of the name of the advisor.
- 5.7.6 Recommendations
- 5.7.6.1 Upon completion of its deliberations, the Committee shall promptly recommend to the Dean whether and on what terms a Continuing appointment should be offered to the applicant, noting that the recommendation from the Dean to the Provost & Vice-President (Academic) must be one of the following:
- a) in the case of an applicant seeking renewal of an Initial Term appointment, either:
 - i) the Initial Term appointment be renewed; or
 - ii) the appointment be allowed to lapse on the termination date stipulated in the appointment.
 - b) in the case of an applicant seeking appointment With Tenure:
 - i) the appointment be continued With Tenure; or
 - ii) the Initial Term appointment be extended for one year; or

- iii) the appointment be allowed to lapse on the termination date stipulated in the appointment.
- c) in the case of an applicant at the rank of Assistant Professor applying for early consideration for an appointment With Tenure at the end of year one or two of an Initial Term appointment:
 - i) the appointment be continued With Tenure; or
 - ii) the appointment be continued according to the normal schedule for application for renewal and tenure; or
 - iii) the appointment be allowed to lapse on the termination date stipulated in the appointment.
- d) in the case of an applicant at the rank of Assistant Professor applying for early consideration for an appointment With Tenure at the end of year three of the Initial Term appointment:
 - i) the appointment be continued With Tenure; or
 - ii) the Initial Term appointment be renewed and continued according to the normal schedule for application for tenure; or
 - iii) the appointment be allowed to lapse on the termination date stipulated in the appointment.
- e) in the case of an applicant at the rank of Assistant Professor applying for early consideration for an appointment With Tenure at the end of year four of an Initial Term appointment which has been renewed:
 - i) the appointment be continued With Tenure; or
 - ii) the appointment be continued according to the normal schedule for application for tenure; or
 - iii) the appointment be allowed to lapse on the termination date stipulated in the renewal.
- f) in the case of an Associate Professor or Professor applying for early consideration for an appointment With Tenure at the end of year one or two of an Initial Term appointment:
 - i) the appointment be continued With Tenure; or
 - ii) the appointment be continued according to the normal schedule for application for tenure; or
 - iii) the appointment be allowed to lapse on the termination date stipulated in the appointment.

5.7.6.2

An academic appointee may apply for appointment With Tenure a maximum of two times. In the case of an applicant who follows the normal schedule, the Initial Term appointment may be extended only once. Extension shall be granted only on academic grounds. An

applicant for early consideration who is not granted an appointment With Tenure but whose appointment is continued according to the normal schedule [option (ii) in c), d) and e) above] will not be eligible for extension under option (ii) in b) above.

- 5.7.6.3 When the Committee recommends that an appointment With Tenure should not be made, it shall state its reasons for that decision.
- 5.7.6.4 Upon receipt of the Committee's report and recommendation, the Dean shall make a recommendation as soon as possible and forward it to the President through the Provost & Vice-President (Academic) by September 1. The applicant shall be notified in writing by the Dean of the recommendation of the Committee and the recommendation of the Dean by the same date. In the case of denial of an appointment With Tenure, the applicant shall be informed in writing of the decision and shall be provided with specific reasons including the essence of any critical comments provided by external referees.
- 5.8 Review of Continuing Appointments (Administrative and Professional)
- Introduction
- 5.8.1 The procedures outlined in Sections 5.6 and 5.7 shall apply to Initial Term academic appointees (Administrative and Professional) with the following substitutions:
- a) reference to the Dean means the appropriate Senior Administrative Officer;
 - b) reference to the Head means the individual who provides the initial recommendation and performs the duties normally handled by the Head of a Department;
 - c) Information Resources and Student and Academic Services are authorized to create Academic Appointment Review Committees. For all other academic appointments (Administrative and Professional) the Provost & Vice-President (Academic) shall appoint and Academic Appointment Review Committee with appropriate membership for the candidate's position. The Academic Appointment Review Committee shall be chaired by the appropriate Senior Administrative Officer (or designate) with the majority of members holding academic appointments With Tenure.
 - d) in the case of Administrative and Professional academic appointees being considered for an appointment With Tenure, the requirement for external advice shall be met by seeking the advice of at least two persons from outside the University who are recognized for professional proficiency in similar activities. These referees shall be invited to assess the quality and progress of the appointee's professional performance in accordance with the criteria established according to Section 3.
- 5.8.2 Where an Assistant or Associate Librarian, Assistant or Associate Archivist, Assistant or Associate Curator, or Counsellor at the end of the penultimate year of an Initial Term appointment has been recommended for a two-year renewal of that Initial Term appointment by the Head, the appropriate Senior Administrative Officer, if the applicant concurs, may forward this recommendation to the Provost & Vice-President (Academic) without reference to an Academic Appointment Review Committee.
- 5.8.3 The granting of an appointment With Tenure requires a determination that, given the

applicant's quality and pattern of career performance, there is a substantial likelihood that the applicant will be able to sustain a career as a productive and effective professional, and active contributor to the University of Calgary community. To this end:

- a) the Committee shall review evidence of the applicant's accomplishments since appointment at the University of Calgary;
- b) the Committee shall then consider the applicant's overall career pattern, taking account of the time elapsed since completion of the highest degree, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors; and
- c) in assessing the evidence presented to it, the Committee shall use the specification of these criteria in the Unit's guidelines referred to in Section 3.5.4 or the specific criteria referred to in 4.3.12 for all other academic appointments (Administrative and Professional).

5.8.4 The options listed in 5.7.6.1 apply to Academic Staff (Administrative and Professional) with the following clarifications. The reference to "Assistant Professor" should be taken as referring to an academic appointee whose normal appointment expectation is a four-year Initial Term plus a two-year Renewal then Tenure consideration. The reference to "Associate Professor" or "Professor" should be taken as referring to an academic appointee whose normal appointment expectation is a four-year Initial Term then tenure consideration.

5.9 Appeals Pertaining to Continuing Appointments

5.9.1 An academic appointee may appeal to the President any recommend. bivale Prelihoto ulpoifromrrinp
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- 5.9.7 An appellant in attendance with respect to consideration under Section 5.10.6 may be accompanied by an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the Appointments Appeal Committee, the appointee shall inform the Chair of the name of the advisor.
- 5.9.8 If the Appointments Appeal Committee finds that there were procedural irregularities of

- 5.10.3 A requested Continuing part-time appointment pursuant to the above provisions is at the discretion of the President, and shall be granted only if satisfactory arrangements for teaching, student supervision, and other departmental responsibilities can be made.
- 5.10.4 An academic appointee who has been granted a requested Continuing part-time appointment under the provisions of Section 5.10 may return to a Continuing full-time appointment only at the end of the period specified in Section 5.10.1 b) or at the discretion of the President.

SECTION 6: MERIT ASSESSMENT AND PROMOTIONS

The following procedures are designed to ensure that the President has the benefit of informed academic staff or collegial opinion in discharging the responsibility under the Post Secondary Learning Act for recommending promotions to the Board of Governors.

- 6.1 Assessment
- 6.1.1 The performance and status of every Continuing, Contingent Term, and Limited Term academic appointee shall be formally reviewed regularly through a process established by a Faculty Promotions Committee under general guidelines established by the General Promotions Committee. Further to Section 3.5.4, all Deans are required to make available to academic appointees in the Faculty written guidelines on the manner in which the criteria for appointment, tenure, merit increments and promotion, as outlined in these Procedures, are applied in the Faculty. At the time of the review, recommendations for the award of merit increments and for promotion in rank shall be prepared.
- 6.1.2 The assessment and promotion process for persons holding Continuing, Contingent Term, and Limited Term appointments is governed by Sections 6.2 through 6.7. These Sections do not govern or apply to persons holding other appointment classes.
- 6.1.3 The requirement for assessment and review by the General Promotions Committee shall not apply to the President, Vice-Presidents, Associate Vice-Presidents, Deans of Faculties, Director of Information Resources, and persons holding other senior positions designated by the President.
- 6.1.4 The assessment procedure for persons holding Term Certain appointments shall be in accordance with the Collective Agreement. In addition, every academic appointee holding a Term Certain appointment may request a written assessment from the Head or equivalent at any time during the last two months of the term of the appointment. The request should be in writing. The assessment will be provided by the Head to the academic appointee prior to the termination date of the appointment. The Head will also offer the appointee an opportunity to discuss the assessment, which will then be entered
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6.2.9 In evaluating academic appointees for increments and promotion, Heads, Deans, and Promotions Committees shall restrict their assessment to the teaching, research, and service contributions of the individual appointee, recognizing that Outside Professional Activity shall be considered in determining career advancement to the extent that this activity demonstrably contributes to the fulfilment of the academic appointee's obligations to the University and to the enhancement of the stature of the University.

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progress of faculty members at all ranks and to consult and advise on applications for tenure and promotion so that such applications may be submitted at an appropriate time.

Early in the Fall term, the Dean's Office circulates to all faculty members a memo outlining the steps involved in seeking promotion and the deadlines for each. Faculty members interested in applying for promotion should attend to this schedule and begin early to assemble a dossier of accomplishments.

An academic appointee seeking promotion shall support the application by preparing relevant documentation (copies of: a curriculum vitae; publications; course outlines, evaluations, and teaching materials—or a teaching portfolio; a record of committee work and professional service) to attest to the quality of work accomplished. Each applicant chooses the format and style of presentation, in order to present the work effectively. Referees will be provided with examples of this documentation on which to base assessments.

For promotion to Full Professor, at least three external letters of reference are required from eminent scholars external to the University of Calgary. One referee shall be identified by the candidate and two by the Dean, in consultation with the Divisional Associate Dean. Referees should include at least one Canadian scholar and preferably one from outside Canada to attest to national or international recognition of achievement.

For promotion within the Instructor ranks, evidence of the scholarship of teaching and application is needed, with an increasingly strong profile through the ranks. Evidence of service contributions should be included.

The application for promotion, along with the supporting materials, shall be submitted to the chair of the Faculty Promotions Committee (i.e., the Dean). The Associate Dean then reviews the application and, taking into consideration the referees' letters, prepares a recommendation. The Faculty Promotions Committee assesses the cases for promotion and makes a recommendation to the Dean.

6.4 Faculty Promotions Committees

- 6.4.1 The regular assessment of the performance of all members of a Faculty, except Heads, Assistant Deans, Associate Deans, and the Dean, shall be reviewed by a Faculty Promotions Committee or equivalent.
- 6.4.2 All recommendations involving promotion in rank of any academic appointee must be recommended by the Head (Dean) or equivalent to the Faculty Promotions Committee which will make recommendations to the Dean or equivalent who will in turn make recommendations to the General Promotions Committee. This procedure shall include academic appointees holding administrative responsibility whose cases for promotion shall be considered initially by a Faculty Promotions Committee.
- 6.4.3 The Faculty Promotions Committee is a Dean's Advisory Committee. The composition of any Faculty Promotions Committee must adhere to conditions a) through d) below:
- a) The composition of the Committee must enable it to retain quorum in all foreseeable cases, e.g. when there is an appeal and all parties to the appeal must absent themselves.
 - b) Student voting members may never outnumber other voting members.
 - c) The number of voting members on the Committee (excluding the Chair or other

member who votes only to break a tie) shall not be less than 5, unless 20 or fewer academic staff members are being assessed by the Committee, in which case the number may be 4 or, where approved by the Provost & Vice-President (Academic) upon request of a Faculty Council for the given year, 3.

- d) Both genders shall be included among the voting academic staff members on the Committee.

6.4.3.1 If in any given year the application of the provisions of Section 6.4.4 or Section 6.4.5 results in a Faculty Promotions Committee which does not satisfy all of the foregoing conditions, the Dean, following consultation with the Faculty Association, shall recommend to the Provost & Vice-President (Academic) changing the voting status of existing members and/or appointing additional members to address the deficiency. The Provost & Vice-President (Academic) has the final authority to determine the composition of a Faculty Promotions Committee in these circumstances.

6.4.4 In a departmentalized Faculty, the Faculty Promotions Committee shall be composed of the following members:

- a) the Dean (Chair, voting only to break a tie);
- b) all Department Heads in the Faculty (voting);
- c) one member appointed by the Faculty Association (non-voting);
- d) one or more members of the Continuing, Contingent Term, or Limited Term academic staff designated by the Dean (non-voting, with role to be determined by the Faculty Council);
- e) one or more student members, selected by a process determined by the Faculty Council (voting);
- f) one or more academic staff members selected through a process determined by the Faculty Council (voting).

6.4.5 The composition of the Faculty Promotions Committee in a non-departmentalized Faculty shall draw on the breadth of experience in the Faculty. The process for establishing the composition of the Faculty Promotions Committee shall be determined by the Faculty Council and is subject to the approval of the Provost & Vice-President (Academic). In any

serve in the role of a Faculty Promotions Committee for those persons holding Academic Appointments (Administrative and Professional) in areas other than Information Resources and Student and Academic Services.

6.4.7.1 This Committee shall be composed of:

- a) the Vice-Presidents;
- b) two persons to be appointed by the President, one of whom shall hold an academic appointment (Administrative and Professional);
- c) Associate Vice-President (Human Resources) or designate as Secretary to the Committee (non-voting);
- d) a participating, non-voting member appointed by the Faculty Association.

Both genders shall be included on the Committee.

6.4.7.2 The President shall appoint a member of this Committee to act as Chair.

6.4.8 The process for a Faculty Promotions Committee shall in all cases include the following:

- a) individual consideration of each academic appointee's case;
- b) comparative consideration of the assessments of all academic appointees (for function and form of assessments, see also 6.2.5 and 6.2.6);
- c) normally increasing expectation of performance as an academic appointee progresses through any rank, and from rank to rank;
- d) progressively more rigorous assessment of merit with seniority within the full professorial rank; and
- e) particular attention to a recommendation for the award of a zero increment.

6.4.9 The quorum for a Faculty Promotions Committee shall be 51% including the Dean or other member who votes only to break a tie. The non-voting Faculty Association member shall be present at all meetings of a Faculty Promotions Committee or equivalent.

6.4.10 Each voting member of the Committee shall have one vote. Decisions shall be by majority vote. The Chair shall not cast a vote, except to break a tie. Members may vote on a particular candidate only if they have taken part in the Committee's deliberations on that candidate and on the majority of the comparison group.

- 6.4.11
- a) If a Dean (or equivalent) is unable or chooses not to serve as the Chair of the Faculty Promotions Committee for part or all of the Committee's deliberations, the Dean shall appoint any academic staff member on the Faculty Promotions Committee (except the Faculty Association's appointee) to serve as the Chair.
 - b) If the Dean is unable to make such an appointment, the Provost & Vice-President (Academic) shall make the appointment.
 - c) When the Dean does not chair the Committee pursuant to this section, the recommendations of the Faculty Promotions Committee made during the Dean's absence

shall be the recommendations submitted to the General Promotions Committee. In the letter to the individual concerned and in the recommendation to the General Promotions Committee it shall be noted that the recommendation was made without the presence of the Dean pursuant to the procedures under this section.

- 6.4.12 Any member of a Faculty Promotions Committee who has a consensual relationship with a candidate being considered for promotion or increment or whose case is being considered as an appeal shall be disqualified from attending the deliberations of the Committee concerning the case and from voting on the question. Individual committee members have a responsibility to declare such a conflict of interest if it exists.
- 6.4.13 A Faculty Promotions Committee shall have the right to rule a member ineligible to vote or to require a member's withdrawal from the deliberations of the Committee if it considers a serious conflict of interest exists. Such a ruling requires a decision by majority vote.
- 6.4.14 An academic appointee is entitled to introduce only written information to each Committee which considers the appointee's case.
- 6.4.15 The Chair and members of Promotion Committees or Head's advisory committees are entitled to introduce only written information to each committee which reviews their decisions.
- 6.4.16 When, based on its normal deliberations, a Faculty Promotions Committee is seriously considering recommending an increment of zero to an academic appointee whose Head or equivalent did not recommend zero, it must notify the appointee in writing and give reasons. The Faculty Promotions Committee must give the appointee the opportunity to respond in writing, or by appearing before the Faculty Promotions Committee, or both, at the appointee's discretion. The appointee must be given at least one week to respond. If the appointee appears before the Faculty Promotions Committee, the Faculty Promotions Committee shall provide the appointee with the opportunity to make a presentation, and may ask the appointee questions. The appointee may be accompanied by an advisor, following the same rules as in 6.6.4.10.
- 6.4.17 The Chair of General Promotions Committee shall not distribute to General Promotions Committee members any written information pertaining to any individual case which is received from sources other than the Chair of a Faculty Promotions Committee or equivalent, the only exception being the appeal documentation submitted by academic appointees.
- 6.4.18 Except as noted in 6.2.2 and 6.4.11, the Dean or equivalent may modify the recommendation of a Faculty Promotions Committee or equivalent before submitting it to the General Promotions Committee.
- 6.4.19 If the Dean modifies the recommendation of the Faculty Promotions Committee, the Dean shall so advise the General Promotions Committee, the Faculty Promotions Committee, the Head, and the academic appointee in writing, specifying the change and giving the reasons for such action.
- 6.4.20 The Chair of the Faculty Promotions Committee shall provide written notice to each academic staff member of the recommendation being forwarded to the General Promotions Committee.
- 6.4.21 If errors of omission or of procedures are found in the proceedings of a Faculty Promotions Committee, that Committee shall be so advised so that it may have an

opportunity to respond.

- 6.4.22 The General Promotions Committee may specify additional documentation requirements to be submitted to a Faculty Promotions Committee for specific categories of merit consideration or promotion.
- 6.4.23 A file shall be kept of all information received and considered by each Promotions Committee, and a record shall be maintained for two years of all decisions reached by each Committee.

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FACULTY PROMOTIONS COMMITTEE

The Faculty Promotions Committee (FPC) is responsible for the annual review and assessment of faculty members for purposes of merit and promotion. FPC is advisory to the Dean.

Committee composition:

- The Dean as chair (voting in case of a tie)
- Each Associate Dean who wrote annual letters of assessment for faculty members (voting)
- Two faculty members appointed by the Dean from a list of four elected by Faculty of Education Council (voting)
- A student representative appointed by the Dean (voting)
- A representative appointed by the Faculty Association (non-voting)

Both genders shall be represented on FPC.

In the fall term, the Faculty of Education Council shall elect four faculty members, three of whom are tenured, as a pool of candidates to serve on FPC. Taking into consideration gender equity and the three professorial ranks, the Dean will then designate two of these four to serve on the Committee.

Committee membership is public information, but all FPC proceedings and all faculty members' files are strictly confidential.

At the discretion of the Chair, FPC may meet prior to commencing its assessment work to consider any information or requirements from the General Promotions Committee, or to review its own procedures and policies. Similarly, at the conclusion of its assessment work each year, the Committee may decide upon changes to be made in subsequent proceedings.

Prior to the FPC meetings, all annual reports, evaluation letters and summary sheets are made available to FPC members for consideration.

In the Committee sessions, each faculty member's work is considered individually. The Divisional Associate Dean who prepared the assessment speaks to the work and the assessment made by comparison to others in the Division. Comparisons are then made by the Committee to the work of other faculty members of the same rank and similar seniority in other Divisions. A major task of the Committee is to ensure that a fair and equitable standard is applied across the Faculty.

Representatives from the Faculty must withdraw during the consideration of their own work.

Applications for promotion are also considered by FPC, after annual merit increments have been addressed.

When General Faculties Council approves changes in the University's APT document, the Dean, as

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Chair of FPC, shall inform faculty members of such changes at the following Faculty Council meeting.
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6.5 General Promotions Committee

6.5.1 The General Promotions Committee is a President's Advisory Committee. The General Promotions Committee shall formally review, evaluate and recommend to the President on all recommendations for merit increments and promotions in rank that are submitted by Deans and equivalents following upon the advice received from a Faculty Promotions Committee or the equivalent.

6.5.2 The General Promotions Committee shall be composed of the following members:

- a) President;
- b) Provost & Vice-President (Academic) who chairs the Committee;
- c) seven full-time members of the academic staff, recognized scholars in their fields, appointed by the President in consultation with the Striking Committee of General Faculties Council, the seven member slate as a whole to be approved by General Faculties Council;
- d) two General Faculties Council representatives elected by the Council;
- e) either the President or Vice-President (Academic) of the Students' Union;
- f) either the President or Vice-President (Academic) of the Graduate Students' Association;
- g) two non-voting members appointed by the Faculty Association;
- h) a Secretary (non-voting) appointed by the Provost & Vice-President (Academic).

Both genders shall be included among the voting academic staff members on the Committee.

A member of the General Promotions Committee cannot also serve as a member of a Faculty Promotions Committee (or equivalent), except in unusual circumstances, requiring approval of the Chair, General Promotions Committee.

6.5.3 A quorum shall consist of two-thirds (2/3) of the members selected under 6.5.2 c) and 6.5.2 d). At least one of the non-voting Faculty Association members shall be present at all General Promotions Committee meetings.

6.5.4 The General Promotions Committee may from time to time establish regulations or guidelines to be followed by Deans, Faculty Promotions Committees, Heads, etc. in preparing and documenting assessments for increments and promotion.

6.5.5 The General Promotions Committee shall also establish its own procedures and schedules and shall publish them for the information of all academic appointees well in advance of the closing date for submission of appointees' reports to the President.

6.5.6 The Chair or any other member of the General Promotions Committee may at any time raise for consideration and decision by majority vote any matter (other than an individual

case) which they feel should be determined to ensure due process and the integrity of the assessment system.

- 6.5.7 The General Promotions Committee shall consider any written submission from the Faculty Association about the application of process. At its discretion, in deliberating on the Faculty Association's submission, GPC may invite representatives of the Faculty Association and other appropriate individuals to appear before them.
- 6.5.8 Cases not expressly covered by existing guidelines or procedures may be determined by the General Promotions Committee so as to ensure fair and equitable treatment consistent with its policies and procedures.
- 6.5.9 The performance of Heads, Assistant Deans, and Associate Deans is reviewed in the first instance according to the regular cycle by the General Promotions Committee. In advance of submitting recommendations to the General Promotions Committee, a Dean may seek the advice of a Faculty Promotions Committee or a peer review process when considering the teaching, research, and service performance of a Head, Assistant Dean, or Associate Dean.
- 6.5.10 The assessment of merit by the General Promotions Committee shall be progressively more rigorous with seniority within the full professorial rank.
- 6.5.11 In recognition that Deans, acting with the advice of a Faculty Promotions Committee, represent the level at which peer assessments can be carried out most effectively, the General Promotions Committee's overall responsibility to conduct a regular review of every academic appointee's status shall be discharged by subjecting all recommendations for increments and promotions, in the first instance, to a general review to ensure that there has been an equitable and consistent application of the assessment criteria and that all increment recommendations shall reflect a high degree of discrimination based on the overall assessment of performance during the reporting period.
- 6.5.12 The General Promotions Committee shall restrict its specific consideration of individual recommendations to those categories for which it has requested that special documentation be prepared and distributed in advance, (e.g. exceptional increments, senior promotions, etc).
- 6.5.13 The General Promotions Committee may require a Dean to reconvene a Faculty Promotions Committee to reconsider some or all of a set of recommendations to ensure compliance with Section 6.5.11.
- 6.5.14 In every case where the General Promotions Committee is likely to make a determination that a recommendation for promotion to Associate Professor or to full Professor should be denied, the Chair shall inform the applicant and the Dean, in writing, of the concerns identified by the Committee, including, if appropriate, the substance of adverse comments made by the referees. Members of the General Promotions Committee shall also be given

a copy of this document. The applicant and the Dean of the relevant Faculty shall be given one week to respond in writing to the Chair, following which both the applicant and Dean shall be invited to meet with the Committee to discuss the original recommendation, before the Committee determines its recommendation to the President.

An applicant invited to attend GPC under this provision may be accompanied by (or if unable to attend may be represented by) an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to

meeting with the General Promotions Committee, the applicant shall inform the Chair of the name of the advisor.

- 6.5.15 In those cases where the General Promotions Committee is likely to make a determination that an increment recommended for an academic appointee be reduced to zero, the Chair shall inform the applicant and the Dean, in writing, of the concerns identified by the Committee. Members of the General Promotions Committee shall also be given a copy of this document. The applicant and the Dean or equivalent shall be given one week to respond in writing to the Chair, following which both the applicant and the Dean or equivalent shall be invited to discuss the original recommendation of the appropriate Faculty Promotions Committee or the Dean's recommendation, and to show cause why the zero increment should not be awarded.

An applicant invited to attend GPC under this provision may be accompanied by (or if unable to attend may be represented by) an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the General Promotions Committee, the applicant shall inform the Chair of the name of the advisor.

- 6.5.16 In every case where the General Promotions Committee determines that an increment recommended for an academic appointee be increased from zero, the General Promotions Committee shall invite the Dean or equivalent to defend the original recommendation submitted to the General Promotions Committee by providing only clarification of factual information which members of the General Promotions Committee may request.

6.6 Appeals

- 6.6.1 It is the responsibility of the Dean or equivalent to establish timelines for receipt of appeals, and to ensure that all academic appointees are made aware of the procedures and deadlines for filing appeals to the various Promotions Committees.
- 6.6.2 Appeals against the recommendation of a Head or equivalent must be directed to the Faculty Promotions Committee, or equivalent, in the first instance. The Chair of the General Promotions Committee shall not accept for consideration by the General Promotions Committee any appeals against the Head's advisor. Faculty Promotions Committee orsor.
- 6.632 ny appeal may be directed to the General Promotions Committee in the first instancg only recommendation of the Head or equivalenr.
- 6.642 Appeals to (Facult)10.6(I Promotions Committee)JTJ /TT2 1 Tf 0 -1.1421 TD 0 Tc ()Tj 0 -1.1475 TD

recommendations being carried forward to General Promotions Committee by the appropriate Dean or equivalent, particularly if the award of a zero increment is being recommended.

- 6.6.6.2 Upon receipt of an appeal, the Chair of the General Promotions Committee shall ensure that the Dean (or equivalent) concerned is provided with a copy of the appeal documentation. The Dean may discuss the appeal with the Head, and may submit a written response to the Chair of General Promotions Committee, provided a copy is also sent to the appellant. This response shall be restricted to the clarification of factual information.
- 6.6.6.3 The Dean (or equivalent) and the appellant will not normally be invited to attend the General Promotions Committee meeting where an appeal is being considered, such invitations being in the sole discretion of the General Promotions Committee. If further information is required, the appellant and the appellant's Dean (or equivalent) shall be invited to be present together to provide only such clarification of factual information as members of the General Promotions Committee may request; the appellant and the appellant's Dean (or equivalent) shall not be present when the Committee deliberates and votes on the appeal.
- 6.6.6.4 At any General Promotions Committee meeting, where the appellant is in attendance, the appellant may be accompanied by an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the Committee the appellant shall inform the Chair of the name of the advisor.
- 6.6.6.5 When an appeal of an assessment is upheld by the General Promotions Committee, the General Promotions Committee may direct that the assessment be modified before it is entered into the personnel file of the academic appointee concerned.
- 6.6.7 Appeals by Academic Appointees (Administrative and Professional)
- 6.6.7.1 All Sections relating to appeals to the General Promotions Committee shall apply mutatis mutandis to academic appointees (Administrative and Professional).
- 6.6.8 Appeals of Cases Reviewed in the First Instance by the General Promotions Committee
- 6.6.8.1 All academic appointees whose cases are reviewed in the first instance by the General Promotions Committee shall be advised in writing by the appropriate Dean or equivalent at least one week before the deadline for receipt of appeals by the General Promotions Committee of the recommendation being carried forward to the General Promotions Committee.
- 6.6.8.2 Such an academic appointee may initiate a formal appeal regarding the recommendation. The appeal and the grounds therefore shall be in writing to the Chair of the General Promotions Committee.
- 6.6.8.3 Upon receipt of an appeal, the Chair shall ensure the Dean or equivalent concerned is provided with a copy of the appeal documentation. The Dean or equivalent may submit a written response to the Chair of General Promotions Committee, provided a copy is also sent to the appellant. This response shall be restricted to the clarification of factual information.

- 6.6.8.4 In every case where the General Promotions Committee determines that an increment recommendation for an academic appointee whose case is reviewed in the first instance by the General Promotions Committee should be increased or reduced, the Dean or equivalent shall be invited to meet with the Committee to defend the original recommendation, before the Committee confirms its recommendation to the President.
- 6.6.8.5 The provisions of Sections 6.6.4.11 and 6.6.6.3 shall also apply to academic appointees whose cases are reviewed in the first instance by the General Promotions Committee.
- 6.6.9 Appeal Decisions
 - 6.6.9.1 An appeal, once heard and ruled upon by the General Promotions Committee may not be reopened by the appellant for reconsideration by the General Promotions Committee.
 - 6.6.9.2 Not earlier than the conclusion of the regular cycle of meetings of the General Promotions Committee, the Chair of General Promotions Committee shall advise each appellant in writing (with a copy provided to the appellant's Dean and Head) of the General Promotions Committee's decision respecting an appeal. In every case where an appeal is denied the appellant shall be advised in writing of the basis for the decision.
- 6.7 Implementation
 - 6.7.1 Once the President has made decisions on the recommendations of the General Promotions Committee, individual academic appointees will be informed, in writing, of the increment and promotion recommendations that will be implemented.
 - 6.7.2 In every case where the recommendation approved by the President is less favourable to

- 7.5.2 If, in the course of the normal budget procedures, it becomes apparent to the University Budget Committee that there is a major financial problem that cannot be accommodated by reductions in expenditures within budget units without dismissal of academic staff, the University Budget Committee will so inform the General Faculties Council and the Board of Governors.
- 7.5.3 If the Board declares a state of financial exigency, the University Planning Committee will be asked to review the academic priorities of the University to establish whether or not any programs or services are to be terminated. After conducting this review, the University Planning Committee shall present its recommendations to General Faculties Council for approval and transmission to the Board of Governors for decision. The General Faculties

7.6 Dismissal for Reasons of Redundancy

7.6.1 The procedures to be followed in cases of dismissal for reasons of redundancy are the procedures set out in the articles of the Collective Agreement Between The Governors of the University of Calgary and The University of Calgary Faculty Association that relate to redundancy, and includes those articles as they may be amended from time to time.

APPENDIX A
CONFIDENTIALITY OF ACADEMIC STAFF FILES

- A.1 Personnel files for academic appointees shall contain materials which are used for evaluative decisions, e.g. increment, promotion and appointment With Tenure. Such files shall be maintained in the office of the appropriate Dean or equivalent and available to the appointee concerned in accordance with the following guidelines:
- A.2 An academic appointee or authorized designate shall have access to the file, if appropriate notice is given to the Dean or equivalent. This right of access does not include access to information which has been solicited by the Dean or equivalent or delegates or by other University officers in the normal execution of responsibilities on a confidential basis, e.g. letters of recommendation. However, the appointee must be informed, on request, of what kinds of confidential solicitations have been made.
- A.3 Accessibility shall include the right to copy material in the file but shall not include the unilateral right to withdraw material from the file.
- A.4 Anonymous material other than course evaluations conducted in accordance with Faculty-approved guidelines shall not be included in a personnel file.
- A.5 If unsolicited material is received and the author(s) is (are) known, the Dean or equivalent shall inform the author(s) that a copy of the material, unless withdrawn, will be forwarded to the appointee and that the appointee will be advised that the material will be placed in the file. The material shall be available for inspection by appointees according to the principles specified above. The appointee has the right to respond in writing to any such material. The response shall be appended to the unsolicited material and becomes part of the file.
- A.6 These guidelines apply mutatis mutandis to other academic personnel files and records necessarily maintained in other than Dean's offices by other University departments in the normal course of discharging their duties and responsibilities, e.g., the Office of the Provost & Vice-President (Academic), Financial Services, Payroll, etc. Material in these files shall not, however, be used in any evaluative process affecting an academic appointee unless the information has been obtained and is available to the appointee concerned in accordance with the foregoing guidelines.
- A.7 Access to an Academic appointee's personnel file shall be available only on a need-to-know basis in pursuit of official University business to the following:
1. the Dean or equivalent,
 2. the Department Head or equivalent,
 3. Faculty Promotions Committees and members thereof
 4. the General Promotions Committee, and members thereof
 5. Academic Appointment Review Committees, and members thereof
 6. Appointment Selection Committees, and members thereof
 7. the Provost & Vice-President (Academic),
 8. the Associate Vice-President (Human Resources),
 9. the President,
 10. persons to whom the President has delegated the authority to inspect the file(s) on official business of the University,

and in addition, as required, to legal agents or police officers specified in Provincial or Federal Court orders.

- A.8 Other University bodies, such as the Board of Governors and the Senate, will sometimes require, in the discharge of their University responsibilities, reports from the senior administration based on data in personnel files. The senior administration's responsibility to provide these kinds of reports does not make access to personnel files of academic appointees available to these bodies or their individual members.

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