



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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Note: This document is currently available in Adobe PDF only

Information Management and Administration,

Human Resources, University of Calgary

FACULTY OF EDUCATION
Supplemental Procedures included

June, 2005

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, sessional instructors and certain other designated categories of administrative and professional staff. In accordance with the ***Post Secondary Learning Act***, the Board of Governors has the authority to designate members of the academic staff, though subject to the requirements of the *Collective Agreement Between the Governors and the Faculty Association*.

These procedures have been approved by General Faculties Council, not out of a commitment to procedure as an end in itself, but out of the conviction that the existence of clear, accessible procedures is the best means of fostering fairness and equity in hiring and promotion decisions. Transparent procedures make it possible to ascertain whether the relevant procedures and due process were followed in cases where particular decisions are queried or appealed.

The procedures in the present manual are intended to be consistent with the following *general principles*:

- The recognition of achievement and high academic standards
- Equity – means that individuals in similar standing in different areas of the University are treated similarly
- Fairness – means that the principles of natural justice and human rights in the treatment of individuals are observed
- Observance of due process in all appointment, promotion, and tenure decisions
- Balance between interests of individuals and of the institution
- Balance between procedural transparency and protection of individual rights to privacy
- Allowance of flexibility in procedures without prejudice to the basic rights of fairness and equity for individuals
- Respect for diversity among Faculties

In addition to the procedures in this manual, each Faculty has its own set of procedures, accessible on the web, which may elaborate upon the procedures and principles in this manual and adapt them to the scholarly and professional cultures and standards of various disciplines, but which may in no case contravene the procedures or principles set out in this manual in letter or in spirit. In other words, this manual takes precedence over the Faculty Guidelines.

1. Provost & Vice-President Academic website: www.ucalgary.ca/VPA/acaddoc
2. “Choose a faculty” under Faculty / Unit Policies & Procedures.

The General Promotions Committee procedures, which elaborate on the assessment and promotion procedures in this *APT Manual*, are contained in a separate document – *Manual of Policies and Procedures for the Annual Assessment of Academic Staff (Salary Increments and Promotions)* – also available online at www.ucalgary.ca/HR/policies/academic.html

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**

- 1.9.1 The General Faculties Council is also required to approve procedures pertaining to the appointment and dismissal of persons in senior administrative staff positions for the University of Calgary in accordance with Section 22(1) of the **Post Secondary Learning Act**. These procedures are set out in the document *Procedures Pertaining to Appointment, Promotion, and Dismissal of Persons in Senior Administrative Positions*.
- 1.9.2 If such persons are also to be appointed to academic positions, such appointments must be made according to these *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff*.

SECTION 2: CLASSES OF ACADEMIC STAFF APPOINTMENTS

2.1 Academic staff appointments at the University of Calgary are of four classes:

- a) Continuing
- b) Specific Term
- c) Clinical and Adjunct
- d) Honorary

The definition of appointment categories is a matter that falls within the scope of collective bargaining between the Board of Governors and the Faculty Association. The definitions in Sections 2.2.1, 2.3.1, 2.3.5, and 2.3.10 below are based on wordings in the current *Collective Agreement*.

2.2 Continuing Appointments

- 2.2.1 Continuing appointments are those academic appointments of more than twelve months having a unique position number assigned within the maximum complement authorized by the Board of Governors and conferring on the academic appointee either:
- i) an *Initial Term* status, implying that the appointment may be continued for a further term or may be continued as an appointment *With Tenure* or may be allowed to lapse; or
 - ii) an appointment *With Tenure*.
- 2.2.2 Continuing appointments (Administrative and Professional) under Section 2.2.1 are made to a specific, progressive rank of Librarian, Archivist, Curator or Counsellor or, in other cases, when the appointment is made generically as a Continuing Administrative and Professional appointment with initial duties identified by an appropriate position title and a mutually agreed and written statement of duties.
- 2.2.3 A *Progressive Rank* exists in those circumstances when an academic appointee may be promoted from one rank to another through a Faculty Promotions Committee process (or equivalent) that is subject to the authority of the General Promotions Committee.
- 2.2.4 Continuing appointments may be full-time or part-time. A Continuing part-time appointment must be drawn from part of an authorized Continuing position with a unique position number. The appointment shall not be less than half-time.
- 2.2.5 One full-time Continuing appointment may be divided into two .5 FTE Continuing appointments each with its own unique position number. Thereafter, each .5 appointment shall be treated as a distinct appointment.

- 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 CA which states:

- 2.3.5 Limited 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 Governors and made in lieu of Continuing appointments in one or more of the following specified circumstances:
- i. When the appointment is to replace a Continuing staff member who is on leave or on another assignment of duties for more than twelve months;
 - ii. When the appointment is as Lecturer (Medicine);
 - iii. When a person with the desired qualifications for the Continuing appointment is not available at the time;
 - iv. When the duties connected with the appointment are for a limited period and are expected to be no longer required after the specified date;
 - v. When an individual states a preference, in writing, for a Limited Term appointment.
 - vi. When the appointment is for a pilot or developmental project.

Limited Term appointments carry no implication of renewal or continuation beyond the

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.
- 2.3.11 Term Certain appointments do not have a unique position number assigned and are outside the maximum complement authorized by the Board of Governors for Continuing appointments.
- 2.3.12 Term Certain appointments may be made in any rank or position title.
- 2.3.13 Retired Short-Term 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*. Retired Short-Term appointments carry with them no implication of renewal or continuation beyond the specified term.
- 2.3.14 Retired Short-Term appointments do not have a unique position number assigned and are outside the maximum complement authorized by the Board of Governors for continuing appointments.
- 2.3.15 Retired Short-Term appointments may be made in any rank or position title.

2.4 Adjunct and Clinical Appointments

- 2.4.1 Adjunct and Clinical appointments are usually without remuneration, and may be made for periods of twelve months up to five years.
- 2.4.2 Adjunct and Clinical appointments may be made in any rank or title for individuals who do not currently hold a Continuing, Contingent Term, or Limited Term appointment, or for academic staff members holding an Administrative and Professional position.
- 2.4.3 An Adjunct or Clinical appointment may be held in one Department, Division, or Faculty concurrently with an appointment of any class in another Department, Division, or Faculty.
- 2.4.4 Any Continuing, Contingent Term, or Limited Term professorial appointee who holds an Adjunct appointment in another Department, Division, or Faculty shall have the same adjunct rank as their primary appointment. Any change in rank in the Continuing, Contingent Term, or Limited Term appointment shall have a corresponding change in the adjunct rank.

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 appropriate disciplinary or interdisciplinary community within and beyond the University prior to or as a result of presentation, publication, distribution, or exhibition.
- 3.3.4 In those Faculties that prepare students for professional practice, contributions to the discipline of that profession shall be deemed relevant to satisfying the research requirement provided that they are of high quality and are acknowledged contributions to the field, that they flow primarily from research, and that they have been subject to an informed peer review process and enhance the professional reputation of the individual and the University.
- 3.3.5 The development of software and the creation of data bases or the creation or entry of information into data bases or contributions to program libraries shall normally be considered equivalent to research publication only if the results have been subjected to informed peer review or appropriate refereeing.

3.4 Service

- 3.4.1 Since the University is a community of scholars, largely responsible for its own governance, it is expected that each academic appointee shall make contributions in the area of service. Service shall be measured by the academic appointee's record of active participation in academic governance and development in matters relevant to the progress and welfare of the department or unit, the Faculty, and the institution.
- 3.4.2 Service may also be measured by informed assessment of evidence of substantial contributions to activities such as service on editorial boards of disciplinary or interdisciplinary journals, on grant selection committees and adjudication panels of provincial, regional, or national agencies, and similar professional involvement.
- 3.4.3 Service may also be measured by substantial contributions to the general or professional community, the Province, and the Nation through the application of scholarly or

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 information such as evaluations by students;
- d) a description of the expectations that the Faculty has of an academic appointee's performance in each of the three functions, including the ways in which these expectations change with rank, and with seniority within a given rank;
- e) a statement that recognizes the diversity of career patterns and the implications of such patterns for assessment purposes;
- f) a statement about how academic and professional qualifications are applied in recommendations for appointment, promotion and tenure
- g) a clear indication of:
 - i) how accomplishments in teaching, research, and service are translated into

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, inter-disciplinary, 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 easily succumb to the temptation of unselected inclusion of everything, so that an administrator is presented with a volume of material, rather than a demonstration of high quality work. Similarly, criteria for assessing service and the scholarship of application and integration have been limited.

The Boyer Project suggests the following as a way of beginning to address what constitutes good quality in each area of scholarship. Six characteristics deemed essential are given, along with a set of questions to guide the assessment of each.

Summary of Standards

Clear Goals

Does the scholar state the basic purposes of his or her work clearly? Does the scholar define the objectives that are realistic and achievable? Does the scholar identify important questions in the field?

Adequate Preparation

Does the scholar show an understanding of existing scholarship in the field? Does the scholar bring the necessary skills to his or her work? Does the scholar bring together the resources necessary to move the project forward?

Appropriate Methods

Does the scholar use methods appropriate to the goals? Does the scholar apply effectively the methods selected? Does the scholar modify procedures in response to changing circumstances?

Significant Results

Does the scholar achieve the goals? Does the scholar's work add consequentially to the field? Does the scholar's work open additional areas for further exploration?

Effective Presentation

Does the scholar use a suitable style and effective organization to present his or her work? Does the scholar use appropriate forums for communicating work to its intended audiences? Does the scholar present his or her message with clarity and integrity?

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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 in student thinking autonomy, resilience and creativity
- Moderate ratings (neither poor nor excellent) from students
- Moderate/modest success in graduate student supervision and examining committee work
- Moderate/modest contributions to field supervision, if applicable
- Being accessible to students
- Evidence of collaboration with and contributions to the teaching profession, and development of practicing teachers in a range of contexts (including elementary, secondary and post-secondary settings).

Meritorious

Following are some indicators of meritorious teaching broadly conceived:

- Evidence of very good to excellent teaching
- Keeping current in one's field and incorporating relevant concepts and research into instruction
- Significant contributions to the broader educational community
- Significant contributions to professional development in fields other than education
- Incorporating into teaching relevant international perspectives, issues, and examples
- Very good to excellent field supervision
- Very good to excellent graduate student supervision
- Participation on graduate student supervisory and examining committees in a way that is effective

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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 Faculty, in whichever category of scholarship they may fall, include, but are not limited to:

- Publications in professional journals leading to the enhancement of the professional reputation of the Faculty
- Published books relevant to the discipline of the author, school texts, software, monographs
- Reports or other documents for the profession or the government
- Evaluation reports

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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 IntegrationUnsatisfactory 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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- Publishing contributions to regular columns or research notes in journals
- Publishing peer reviewed book chapters or conference proceedings
- Presenting at peer reviewed academic and professional conferences
- Involvement in international projects, including proposal writing, project planning and dissemination of project outcomes
- Consultation on Faculty international projects, including project design and problem solving in one's area of expertise
- Mentoring other faculty members to improve their research or publications
- Developing software or other creative works which have significant impact

Service

Factors to be considered in assessing the quality of service include the scope of the service (from divisional to international), the weight of responsibility carried in the role or office held, the leadership abilities required, the expertise required, the nature of the assignment (appointed, invited, elected), the amount of time entailed, and the distinction brought to the unit or the University. Service may be internal to the University or external and international (e.g. with professional organizations or government committees, or in international projects).

The range of activities below includes some that are part of the scholarship of application and some that are active involvement in university governance.

Service activities include but are not limited to:

- Chairing a University, Faculty or Division committee
- Membership on University, Faculty or Division committees
- Work (e.g. with a Centre of Excellence or Institute) that brings distinction to the Faculty or University
- Review or evaluation of peers for purposes of promotion, merit or awards
- Field based service
- Active involvement in academic or professional organizations at a local, national or international level, including positions on the governing bodies
- Involvement in national or international organizations in ways that enhance internationalization in the Faculty
- Consultation and professional services to government, public agencies or the profession
- Involvement in curriculum development or counselling at the community level
- Media presentations to inform the public and background briefings for the press

Assessment of Service

Service is a necessary part of each faculty member's work.

Unsatisfactory

Unsatisfactory performance is indicated by minimal or no evidence of service.

Satisfactory

Satisfactory service entails active participation in and contribution to the internal work of the University or external academic or professional organizations.

Meritorious

Any service activities which bring distinction to the Faculty or University are considered meritorious, including but not limited to:

- Service that is wide in scope or highly time demanding

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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.

- 3.8.3 Appointment or promotion to this highest rank requires documented evidence of an established scholarly and professional reputation supported in writing by three or more eminent referees external to the University. This reputation must be at either the national level, or both the national and international level, as determined by the policy of the relevant Faculty Council.
- 3.8.4 Unless inappropriate, the referees should include eminent Canadian scholars.
- 3.8.5 A Professor is also expected to have an established record of service contributions to the institution and appropriate discipline, and when relevant, profession.
- 3.8.6 Each Faculty Council is to establish written procedures for the selection of eminent external referees appropriate to the various disciplines or professions and to file them, whenever changed, with the Provost & Vice-President (Academic) as Chair of the General Promotions Committee.

3.9 Requirements for Instructor

- 3.9.1 Appointment to this rank requires evidence of successful teaching ability, professional experience, and/or professional/educational qualifications appropriate to the intended duties of the position.
- 3.9.2 The duties of an Instructor will normally include, but not go beyond, the scholarship required to maintain currency in pedagogy and content in the discipline.
- 3.9.3 The duties shall be incorporated within the Faculty Guidelines or letter of appointment, and shall provide the basis for performance assessment.

3.10 Requirements for Senior Instructor

- 3.10.1 In addition to the qualifications for an Instructor, appointment to this rank requires evidence of teaching effectiveness; a creative approach to the teaching function; evidence that the individual is capable of initiating and participating in a wide variety of teaching activities; evidence that the individual is thoroughly familiar with the current status of the appropriate discipline or one or more specialized areas thereof; and a satisfactory record of service. Appointment to this rank may also consider evidence of leadership roles, evidence of pedagogical expertise or involvement with curriculum development. Educational and professional qualifications beyond those for Instructor may be required.
- 3.10.2 Senior Instructors are expected, upon assignment by the Dean or Department Head, to take major responsibilities for teaching and related professional activities of the Faculty or Department.
- 3.10.3 The duties of a Senior Instructor will normally include, but not go beyond, the scholarship required to maintain currency in pedagogy and content in the discipline.
- 3.10.4 The duties shall be incorporated within the Faculty Guidelines or letter of appointment, and shall provide the basis for performance assessment.

3.11 Transfers Between the Professorial and Instructor Ranks

- 3.11.1 The professorial ranks (Assistant Professor, Associate Professor and Professor) and the instructor ranks (Instructor and Senior Instructor) are separate career streams.
- 3.11.2 Transfers from an instructor rank to a professorial rank, or from a professorial rank to an instructor rank, will be considered based on an application by the academic appointee.
- 3.11.3 Transfer consideration will be based on whether the applicant meets the criteria for the new rank. The process used shall be the same as the promotion process as specified in section 6 of these procedures.
- 3.11.4 The Dean's recommendation shall include:
- (a) the criteria required for appointment to the new rank; and
 - (b) supporting documentation that indicates how the transfer in question fits into the Faculty's human resource plan.
- 3.12 Requirements for Lecturer (Medicine)**
- 3.12.1 The rank of Lecturer is authorized for use in the Faculty of Medicine and is generally deemed to be parallel to the rank of Instructor.
- 3.12.2 Appointment as Lecturer shall require the completion of academic or professional qualification in Medicine or its associated disciplines. Appointment shall also require evidence of appropriate teaching or professional experience.
- 3.12.3 Within the guidelines of the Faculty of Medicine, the nature and extent of teaching and related professional duties shall be decided by mutual agreement between the academic appointee and the Dean or appropriate Head, subject in the latter case to the approval of the Dean of Medicine.
- 3.12.4 The agreed duties shall be incorporated within the letter of appointment and shall provide the basis for performance assessments and increments or consideration for a subsequent appointment.
- 3.12.5 The agreed duties of a Lecturer shall not include the supervision of graduate students.
- 3.12.6 Lecturer is not normally a progressive rank and appointment to the rank does not imply consideration for promotion. However, when a subsequent appointment is being considered for an academic appointee holding appointment as a Lecturer, the Dean shall refer the matter to a Faculty Promotions Committee, which shall advise the Dean on whether the subsequent appointment should be made at the rank of Lecturer. The Committee may also give consideration to recommending an Initial Term appointment at the Assistant Professor level. The Committee must make its recommendation based on the requirements of the rank, the career history of the applicant, and the recommendation of the appropriate Head or equivalent. The requirements of Section 5.2.3 must also have been met.
- 3.13 Requirements for Adjunct or Clinical Appointments**
- 3.13.1 Adjunct or Clinical appointees shall be persons with substantial experience in a profession or discipline who are from outside a Department, Division, or Faculty and who agree to contribute to the educational experience of students on a recurring basis through active participation in the academic programs of a Department, Division, or Faculty.

- 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.

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CRITERIA FOR APPOINTMENT AND PROMOTION

The criteria for appointment and promotion to a particular academic rank are synonymous.

Appointment and promotion committees shall consider the complete career record of the applicant.

Performance expectations, especially as they pertain to quality of work accomplished, will increase with ascending academic rank and with progression through a rank.

Differing individual abilities and diversity of career paths are recognized, so there is some flexibility for faculty members to design their own priorities; these should be discussed and arranged in advance with either a Divisional Associate Dean or the Dean. Normally, emphasis is placed on reaching an appropriate balance amongst the three areas over the course of a career.

If a faculty member seeking promotion has made noteworthy contributions to international work, such that the usual pattern of scholarship has a different profile for time spent away, the emphasis will be placed on the international work accomplished.

A faculty member may seek promotion with an emphasis on discovery and integration, or on teaching and application. The Faculty of Education values both sets of scholarship; therefore, an individual can choose either pair as an area of emphasis. It is important to note that a solid record in teaching, research and service is expected; the question is only one of where the emphasis is placed. A faculty member applying for promotion should state clearly which emphasis has been chosen.

The Instructor ranks are focused principally on the scholarship of teaching and application and on service. The duties of an Instructor shall not normally include the supervision of graduate students, nor the conducting of research programs.

Assistant Professor

A candidate for appointment as an Assistant Professor should present:

- a completed doctoral degree
- a current curriculum vitae
- successful teaching (with evidence 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)
- a research program initiated

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- publications (with evidence such as those based on the doctoral dissertation, research notes, book reviews, articles in professional journals, or other publications)
- a record of service to the profession

Associate Professor

An applicant for appointment or promotion to Associate Professor should present:

- a current curriculum vitae
- evidence of effectiveness in each of the three areas.

Teaching and Application: Successful teaching and application are required for the rank of Associate Professor. Evidence may include:

- positive student evaluations
- teaching materials developed entirely or partially by the applicant
- collaboration with the field in activities to enhance the quality of teaching
- successful supervision of graduate students
- teaching awards
- other evidence the applicant deems relevant

Discovery (Research) and Integration: Evidence of successful scholarship may include:

- publications of scholarly and professional work
- presentations to academic and professional groups
- research grants and contracts awarded
- a clearly described research program underway
- other evidence the applicant deems appropriate

Service: A record is expected of contributions to the University governance within the Division and Faculty or to the development of the profession.

If a choice of career path—emphasis on research and integration, or on teaching and application, or a balance of the two—is apparent, it may be declared and therefore taken into consideration in the promotion decision.

Full Professor

A current curriculum vitae should be included with the application.

Depending upon the emphasis chosen, an applicant for Full Professor should be guided by one of the two routes outlined below.

For the Discovery (Research) and Integration Route, applicants for full professor should present evidence of:

- A research program and scholarship record which demonstrate a substantial contribution to advancing theory and practice in education. Quality of scholarship is particularly critical; the scholarship should be significantly more substantial than that required to hold the rank of Associate.
- A substantial record of publications in the leading peer-reviewed journal(s) in the applicant's area
- Other academic writing, such as books or book chapters, critical essays, etc.
- A strong record of presentations at academic conferences and to academic groups
- Significant work done with and for professional groups
- Appointments or positions held which indicate that the applicant is recognized and respected as a leader in the scholarly community. These might include, but are not limited to: appointments on

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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

For the Teaching and Application Route, applicants for full professor should present evidence of:

- Outstanding teaching at the University of Calgary
- Outstanding teaching in settings outside the University
- Research and publication on teacher, or other professional, preparation (perhaps collaborative school-based work)
- National or international workshops or other teaching presentations
- Contributions to the development of teaching at the University or in the profession
- Assessments from eminent teachers, normally full professors or scholars of equal standing, attesting that the applicant is a distinguished teacher and scholar in the study of teaching
- A meritorious record of research and publications
- Service to the Division, Faculty, University and community
- Any other evidence the applicant deems pertinent

The following are considered to be examples of outstanding teaching work:

- Leadership in course or curriculum development
- Very positive teaching evaluations from students
- A national reputation for effective workshop presentations
- Mentoring peers to improve their teaching abilities
- Receipt of significant teaching awards
- Significant field-based collaboration in teaching activities
- Nationally or internationally recognized innovations in teaching
- Published research on teacher development
- Published collaborative field-based research

Instructor

A candidate for appointment to Instructor should present:

- A completed graduate degree in an appropriate discipline
- A current curriculum vitae
- Evidence of successful teaching and 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 being thoroughly familiar with the current literature in the discipline
- Evidence of any other successful and relevant work experience

Senior Instructor

A candidate for appointment or promotion to Senior Instructor should present:

- A completed doctoral degree in an appropriate discipline
- A current curriculum vitae

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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

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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, 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 that the individual is capable of initiating and participating in a wide variety of teaching and application activities
- Evidence that the individual is thoroughly familiar with the current status of the appropriate discipline or one or more specialized areas of study
- A record of service to the Division or Faculty
- In-service teaching or collaborative work done for the profession
- A record of merit increments that are at the high end of the satisfactory range or better. That is, competence in the two areas (teaching and service) should have been demonstrated, commensurate with the candidate's academic rank.

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.

- b) a quorum rule which assures that a majority at all meetings shall be Continuing, Limited Term, or Contingent Term academic appointees in the relevant Faculty;
- c) a process that determines candidates' suitability for the position, based on relevant criteria and qualifications;
- d) steps to search out qualified candidates of either gender or any group designated under Employment Equity that has been identified by the Faculty as being under-represented in the discipline;
- e) the initial review of applications;
- f) an initial short-listing based on relevant criteria;
- g) solicitation of confidential written references (normally three are required) for all short-listed candidates commenting on factors relevant to the position;
- h) an interviewing process that provides for access to the candidate(s) by the members of the relevant discipline(s), including a mechanism to solicit written feedback to be reviewed and accorded appropriate weight by the Committee;
- i) a final ranking process for interviewed candidates that is based on the established relevant criteria and that identifies each candidates' suitability for the position;
- j) the maintenance, and retention for two years, of records of all stages of the recruitment and selection process for each academic appointment, including selection criteria, copies of advertisements, publication venues, an outline of the active recruitment methods employed, copies of applicants' curricula vitae, and copies of letters of recommendation. These records shall be made available to the Provost & Vice-President (Academic) and the Employment Equity Officer on request.

4.3.8 The Academic Selection Committee may delegate any or all of tasks (e), (f), and (g) to a sub-committee of its members, provided that any Committee member is free to participate in the sub-committee's activities and that a mechanism is established to ensure that the sub-committee accounts for these activities to the Academic Selection Committee as a whole.

4.3.9 An initial short-listing of candidates may be determined at any time, provided the vacancy has been advertised nationally for a minimum of thirty (30) days.

4.3.10 When an Academic Selection Committee determines that two or more candidates are equally qualified to receive an offer of appointment, and at least one of these candidates is from either of the following groups:

- a) the minority gender in a unit in which the gender ratio of academic staff is greater than 2:1, or
- b) any group that is identified under Employment Equity and that is under-represented as defined by the Faculty's Employment Equity Plan,

the Committee shall recommend that an offer of appointment be made to the candidate who is a member of groups a) or b).

4.3.11 An academic Selection Committee may choose, for good reason, to recommend no candidate to the Dean.

- 4.3.12 If the appointment recommendation of the Dean differs from the advice received from the Academic Selection Committee, the Dean shall inform the Provost & Vice-President (Academic) and the members of the committee.
- 4.3.13 In certain circumstances, an Academic Selection Committee may recommend that the appointment be made *With Tenure*. In such cases, the Committee must make its recommendation based on the career history of the applicant when considered in the spirit of Section 5.7.
- 4.3.14 An appointment *With Tenure* may be offered upon appointment only if so recommended to the Dean by the Academic Selection Committee.
- 4.3.15 An appointment *With Tenure* shall not be recommended for an appointment to be made at the rank of Assistant Professor or Instructor.

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SELECTION PROCEDURES FOR CONTINUING ACADEMIC APPOINTMENTS

When a vacancy or the possibility of a vacancy becomes apparent, the Dean shall inform all members of the Faculty, who shall then meet (perhaps in a Staff Meeting), with the Dean as chair, to consider the broad context of the Faculty and its programs and to advise the Dean of faculty preferences in defining the nature of the vacancy to be filled.

For every vacancy which the Faculty is authorized to fill, an Academic Selection Committee shall be appointed. Academic Selection Committees shall consist of five members, of whom three are Continuing, Limited Term or Contingent Term appointees of the Faculty. Normally two of these shall be from the disciplinary group in which the appointment is being made, and one from elsewhere in the Faculty. One member shall be an academic appointee of another teaching unit outside the Faculty of Education; this external committee member is a full voting member of the committee with the same responsibilities as other members to make sound judgements within specified guidelines. One member shall be a student of the Division(s) or Program for which the appointment is being made.

The Dean may appoint a Divisional Associate Dean or other faculty member to chair the committee.

A quorum is required for all meetings of an Academic Selection Committee and shall be considered to exist when the majority of committee members present are Continuing, Limited Term or Contingent academic appointees of the Faculty and both genders are represented.

When qualified candidates can be found, the Faculty will seek to appoint scholars from minority and designated groups.

Prior international experience will be a consideration in hiring decisions.

The Committee shall meet forthwith after its appointment to determine:

- the criteria upon which the search for candidates and its subsequent short-listing of candidates shall be based;
- the appropriate form and wording of the advertisement, in keeping with University requirements; and
- the deadline for receipt of applications.

The Committee may determine a closing date for applications. If it does so, immediately after the

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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 Associate Vice-President (Student Affairs).

- 4.4.5 An appointment *With Tenure* shall not be recommended for an appointment at the rank of Counsellor.

Other Academic Staff (Administrative and Professional)

- 4.4.6 In cases where an academic appointment (Administrative and Professional) is contemplated other than those in Information Resources or Counsellors, the appropriate Vice-President must demonstrate, to the satisfaction of the Provost & Vice-President (Academic), that the position shall have sufficient direct involvement in or connection with the academic work of the University to justify such an academic appointment. The Vice-President concerned shall supply to the Provost & Vice-President (Academic) a statement of the anticipated duties of the position and the criteria to be used for selection, performance review, and academic appointment review.
- 4.4.7 External competition for academic positions (Administrative and Professional) is not normally required where the promotion of a subordinate represents a normal career path. Internal advertising of the opportunity is required.
- 4.4.8 If use of an academic appointment is approved by the Provost & Vice-President (Academic), the appropriate Vice-President shall establish an Ad Hoc Selection Committee with procedures that shall adhere to the principles set out in Sections 4.3, to the extent possible under the circumstances of the position. The external member shall be drawn from a different organizational unit.
- 4.4.9 The members of the Ad Hoc Selection Committee, a majority of whom shall hold academic appointments (Administrative and Professional), shall be appointed by the appropriate Vice-President in a manner to assure adherence to the principles of Section 4.2.4 while recognizing the operational necessities of the position.
- 4.4.10 The procedures of the Ad Hoc Selection Committee shall be approved by the Provost & Vice-President (Academic) or delegate before the vacancy is advertised.
- 4.4.11 In situations when the selection process is for a senior vacancy, the Ad Hoc Selection Committee may recommend that the appointment be made *With Tenure*. In such cases, the Committee must make its recommendation based on the career history of the applicant when considered in the spirit of Section 5.7 and 5.8.
- 4.4.12 An appointment *With Tenure* may be made upon appointment only if so recommended to the appropriate Vice-President by the Ad Hoc Selection Committee.

4.5 Family and Consensual Relationships

- 4.5.1 Academic employment with the University shall not be prejudiced by family relationships or personal consensual relationships between academic appointees.
- 4.5.2 In situations when one member of a family or relationship would be in a position to make recommendations on the selection, merit, tenure, or promotion of another member, he/she must refrain from any such participation.
- 4.5.3 In situations when one member of a family or a relationship would, ex-officio, have administrative jurisdiction over another including the necessity to make recommendations

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.
- 4.8.11 A part of the process of establishing the academic selection process referred to in Section 4.3.7, a Faculty Council shall determine as a matter of policy
- a) at which organizational unit (e.g. Faculty, Department, Program) these procedures shall be applied, and
 - b) how to determine which units shall be deemed to comprise the Destination Unit if the hiring may affect more than one unit.

Special Limited Term Appointment

- 4.8.12 In cases where time constraints or other circumstances do not permit the use of the extraordinary procedures set forth in the foregoing Sections, the Secondary Spouse may be offered a special Limited Term appointment. In this instance, the special Limited Term appointment is for a non-renewable one-year term, and the offer may be made without satisfying the normal advertising and selection requirements. At the conclusion of the one-year term, the special Limited Term appointment will lapse. During or immediately following the one-year term, the Dean of the Destination Faculty may initiate the Extraordinary Procedures for Expedited Spousal Hiring. The incumbent may at any time become a candidate for any position that may become available and be advertised in accordance with the normal procedures for selection and appointment.

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EXPEDITED SPOUSAL HIRING

With regard to the procedures for "Expedited Spousal Hiring," in the Faculty of Education, hiring procedures shall be applied at the Faculty level and the Faculty shall be deemed the Destination Unit.

SECTION 5: APPOINTMENT REVIEW AND RENEWAL

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 reappointments to the Board of Governors.

5.1 Specific Term Appointments

5.1.1 Academic appointees holding Specific Term appointments of more than twelve months shall normally receive a written decision whether there shall be a renewal of contract, not less than four months before the end of the stipulated period of contract (e.g. March 1).

5.1.2 In the case when financial circumstances do not permit the making of a decision four months before, the appointee shall be so informed in writing of those circumstances not less than four months before the end of the stipulated period of the contract.

5.1.3 Academic appointees holding full-time Specific Term appointments of more than six months and up to twelve months shall normally receive a written decision whether there shall be a renewal of contract, not less than three months before the end of the stipulated period of contract.

5.1.4 In the case when financial circumstances do not permit the making of a decision three months before, the appointee shall be so informed in writing of those circumstances not less than three months before the end of the stipulated period of the contract.

5.2 Conversion of Contingent Term and Limited Term Appointments to Continuing Appointments

5.2.1 If operating funds are allocated for a position previously deemed to require a Contingent Term appointment, the incumbent shall be granted the option of being considered first for the Continuing position prior to it being advertised if all of the following conditions are met:

- a) a Continuing position has been allocated to the department or unit for the same purpose in the same discipline as the Contingent Term appointment;
- b) the incumbent was originally selected according to the competitive procedures of Section 4.2 or by a process approved in advance by the Provost & Vice-President (Academic) as being equivalent to the procedures in 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.

5.2.2 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.

5.2.3 If operating funds are allocated for a position previously deemed to require a Limited Term appointment, the incumbent shall be granted the option of being considered first for the Continuing position prior to it being advertised if all of the following conditions are met:

- a) a Continuing position has been allocated to the department or unit for the same purpose in the same discipline as the Limited Term appointment;

- 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 and the actual commencement date of the Initial Term appointment. A Dean may recommend that service interrupted by a longer period of up to one year may be recognized if the interruption was for *bona fide* family reasons or for the pursuit of relevant academic study.

5.4 Initial Term Appointments (Teaching and Research)

5.4.1 Notwithstanding the effective date of the appointment, and subject to the provisions of Section 5.3.1, an Initial Term appointment shall end on June 30 and shall not be less than forty-six (46) months if it is the first Continuing appointment to the University for the person concerned.

5.4.2 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*.

5.4.3 Professors or Associate Professors 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.

5.4.4 A Senior Instructor who has been appointed on an Initial Term basis shall be considered for appointment *With Tenure* towards the end of the penultimate year of the Initial Term appointment.

5.4.5 Assistant Professors 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.

- 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, an Associate Dean, or equivalent. The word “Head” in Sections 5.6.6 to 5.6.21 refers to the person fulfilling the role of the Head.

- 5.6.5.1 If the Dean chooses to fulfill the role of Head in the review of Continuing appointment process, the Chair of the AARC shall forward the Committee’s recommendation directly to the Provost & Vice-President (Academic).

Renewal of Initial Term

- 5.6.6 On or before April 1, all academic appointees who wish to be considered for renewal of an Initial Term shall present relevant information to the Head, using an application form.
- 5.6.7 The Head shall fill in the relevant section of the application form, based on the Head’s assessment of the applicant, and shall, 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.
- 5.6.8 By May 1, the Head shall forward the completed assessment and recommendation to the Dean, who shall forward it to the appropriate Academic Appointment Review Committee.
- 5.6.9 An applicant may formally respond to 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.
- 5.6.10 When an Assistant Professor or an Instructor 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 Dean, if the applicant concurs, may forward this recommendation to the Provost & Vice-President (Academic) without reference to an Academic Appointment Review Committee.

Appointment *With Tenure*

- 5.6.11 On or before December 1, all academic appointees who wish to be considered for an appointment *With Tenure* shall submit a letter of intent and a curriculum vitae to the Chair of the Academic Appointment Review Committee, who will use these in selecting referees (see Section 5.6.13).
- 5.6.12 On or before February 1, all academic appointees who wish to be considered for an appointment *With Tenure* shall submit their application form, an updated curriculum vitae, relevant research/publication materials, and other materials as specified in the Faculty guidelines to the Chair of the Academic Appointment Review Committee. The Chair shall distribute the relevant materials to the referees and the Head in a timely fashion.
- 5.6.13 The Chair of the Academic Appointment Review Committee shall obtain signed, written advice from referees within the discipline or field of study. Such referees may be from the applicant’s Department or from elsewhere in the University, and shall include at least two eminent academics from outside the University who shall be invited to assess the quality and progress of the applicant’s research or professional performance in accordance with the criteria for tenure set out in Section 5.7.5.2. By April 1, the Chair shall supply these letters to the Head who will use them when writing the assessment and recommendation.

- 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.
- 5.6.18 The Head shall solicit advice from other academic staff at the University of Calgary. Each Department or equivalent shall have established procedures for the Head to solicit advice before completing a recommendation concerning tenure under Section 5.6.19, and these procedures shall be included with the Faculty guidelines (Section 5.6.3). These procedures may vary between Departments within the same Faculty, and between Faculties, but they must do the following:
- a) They must provide for a consistent process within a Department or equivalent. The same rules must apply to every applicant within the Department.
 - b) They must identify whose advice is to be sought within the Department or equivalent. At a minimum, all tenured staff within the Department must be given an opportunity for input.
 - c) They must allow for seeking advice from at least tenured academic staff outside the applicant's Department when such persons have direct knowledge of the applicant's academic work. The procedures must give the applicant an opportunity to suggest who outside the Department should be consulted, but the Head may consult with others as well. The Head must provide the applicant with a list of all those whose advice was sought.
 - d) They must provide that the Head make the applicant's curriculum vitae and relevant research/publication materials available for no less than two weeks for inspection by those included in the consultation process. Under no circumstances shall the Head disclose the contents of letters solicited from referees, which are confidential to the Academic Appointment Review Committee (see Section 5.6.15).
 - e) They must specify the process by which the Head solicits advice. This process may involve conducting interviews, soliciting written comments, a departmental committee or meeting, or some other fair process.
 - f) They must provide that the Head shall maintain a confidential written record of any comments received. A fair summary of the advice received shall be included in the Head's assessment prepared under Section 5.6.19.

- 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

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The Divisional Associate Dean shall advise in writing all members of the disciplinary group(s) within the Faculty of Education with which the applicant is affiliated that an application for appointment with tenure has been submitted, and shall invite them to submit to the Divisional Associate Dean individual assessments of the applicant's suitability for such appointment.

The Divisional Associate Dean shall also invite submissions from among tenured academic staff of the University outside the Faculty of Education who have direct knowledge of the applicant's work. The Divisional Associate Dean shall ask the applicant to suggest who should be consulted under this section, but may consult others as well. The Divisional Associate Dean shall supply to the applicant a list of all those who have been consulted.

For no less than two weeks after the submissions of faculty members have been invited, the applicant's curriculum vitae and research/publication materials shall be held in a central location where they may be examined. Letters solicited from referees shall not be included with these materials, but must be held confidential to the Academic Appointments Review Committee. The Divisional Associate Dean shall maintain a confidential written record of all submissions received under these procedures, and shall include a fair summary of their contents in the assessment prepared (under Section 5.6.19).

All assessments submitted under this section shall be signed and in writing; the Divisional Associate Dean shall hold them confidential.

5.7 Academic Appointment Review Committees

- 5.7.1 An Academic Appointment Review Committee is advisory to a Dean [Provost & Vice-President (Academic)].
- 5.7.2 In every case relating to consideration for reappointment *With Tenure* or the renewal of a Continuing appointment, except for renewal cases recommended by the Dean directly to the Provost & Vice President (Academic) under section 5.6.10, the recommendation of the Head or equivalent shall be referred by the Dean to an Academic Appointment Review Committee for advice.
- 5.7.3 In every case relating to a Head who is seeking a professorial appointment *With Tenure* or the renewal of an appointment, the Dean shall initiate the recommendation and forward it to the Provost & Vice-President (Academic).

5.7.4 Composition

- 5.7.4.1 An Academic Appointment Review Committee for a Faculty shall be composed of:
- a) the Dean or delegate who must not be the person who performed the functions of the Head set out in Section 5.6 (Chair);
 - b) four academic appointees holding appointments *With Tenure*, at least one of whom must be from outside the Faculty, all selected in a manner determined by the Faculty Council and set out in the Faculty guidelines;
 - c) up to two academic members appointed by the Dean;
 - d) for each applicant, and unless excluded by Section 5.7.5.6, the Head or equivalent who performed the functions of the Head set out in Section 5.6, as a participating but non-voting member of the Committee;

- 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

- a) the following members are present:
 - i) the Chair;
 - ii) at least two of the academic appointees named in Section 5.7.4.1 b), one of whom must be from outside the Faculty;
 - iii) at least one of the members appointed by the Dean;
 - iv) the Head or equivalent, unless excluded by Section 5.7.5.6;
 - v) the member appointed by the Faculty Association;
- and
- b) both genders are represented.

5.7.4.3 An Academic Appointment Review Committee for a Department Head, shall be composed of:

- a) the Provost & Vice-President (Academic) or delegate (Chair);
- b) four academic appointees holding appointments *With Tenure*, at least one of whom must be from outside the Faculty, all selected in a manner determined by the Faculty Council;
- c) up to two members appointed by the Provost & Vice-President (Academic);
- d) a member appointed by the Faculty Association, who shall be present as a participating but non-voting member of the Committee;
- e) at least one participating student representative selected by a process determined by the Faculty Council (non-voting unless determined otherwise by the Faculty Council).

5.7.4.4 An Academic Appointment Review Committee for a Department Head may not meet unless

- a) the following members are present:
 - i) the Chair;
 - ii) at least two of the academic appointees named in Section 5.7.4.3 b), one of whom must be from outside the Faculty;
 - iii) at least one of the members appointed by the Provost;
 - v) the member appointed by the Faculty Association;
- and
- b) both genders are represented.

- 5.7.4.5 In addition to the required membership stipulated in Section 5.7.4.1 and 5.7.4.3, a Faculty Council may provide for participation of an appropriate external member of a relevant profession on an Academic Appointment Review Committee, or the Faculty Council may establish other mechanisms for informed opinion from the relevant profession to be taken into account.
- 5.7.4.6 An applicant shall be informed of the composition of the Academic Appointment Review Committee and may make recommendations to the Chair regarding possible changes.

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MEMBERSHIP OF ACADEMIC APPOINTMENT REVIEW COMMITTEE

Membership of the Academic Appointment Review Committee:

- a) Chair, an Associate Dean (who has not filled the role of "Divisional Associate Dean" for the applicant), (voting in case of a tie)
- b) i) Two members of the Faculty of Education Council, elected by Council (voting)
 - ii) One member named by the appointee seeking tenure (voting)
 - iii) One member external to the Faculty, appointed by the Dean (voting)
- c) One member appointed by the Dean (voting)
- d) The Divisional Associate Dean who prepared the recommendation to the Committee (participating but non-voting)
- e) One member appointed by the Faculty Association (participating but non-voting)
- f) One student appointed by the Chair

Both genders shall be represented on the Committee.

With the exception of the student member, all Committee members shall hold academic appointments *With Tenure*.

5.7.5 Criteria

- 5.7.5.1 The renewal of an Initial Term appointment requires a determination that, given the applicant's quality and pattern of career performance, there is a reasonable likelihood that the applicant will be able to apply successfully for an appointment *With Tenure* at the University of Calgary within the time allowed.
- 5.7.5.2 The granting of an appointment *With Tenure* in the professorial ranks 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 researcher, effective teacher, and active contributor to the University of Calgary community. To this end:
- a) the Committee shall review evidence of the applicant's accomplishments in teaching, research, and service 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;
 - c) in assessing the evidence presented to it, the Committee shall use the specification of these criteria in the Faculty's guidelines referred to in Section 3.5.4; and

- 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 an 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 recommendation of a Dean or equivalent that results from an Academic Appointment Review Committee recommendation.
- 5.9.2 The appeal and the grounds thereof must be submitted in writing to the President by September 15.
- 5.9.3 The President may delegate the adjudication of an appeal from a recommendation of a Dean to an Appointments Appeal Committee.
- 5.9.4 An Appointments Appeal Committee including a Chair shall be appointed by the President consisting of two or three persons holding Continuing academic appointments *With Tenure* at the University of Calgary in addition to a participating, non-voting member appointed by the Faculty Association. None of the persons on the Committee shall be from the appellant's Faculty or Unit.
- 5.9.5 The Appointments Appeal Committee shall review the academic appointee's original application, the documentation of the Academic Appointment Review Committee including the written advice received, the letter informing the appointee of the denial of reappointment, and any documentation supplied by the appellant or the Chair of the Academic Appointment Review Committee.
- 5.9.6 The Appointments Appeal Committee shall seek to interview the appellant, the Dean, and the Chair of the Academic Appointment Review Committee. The appellant and the Dean shall be present together when interviewed. If necessary, the Appointments Appeal Committee may seek to interview the Academic Appointment Review Committee.

- 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 sufficient magnitude as to affect the decision of the Academic Appointment Review Committee, it shall refer the matter back to the Faculty for reconsideration as quickly as possible. It shall also provide clear direction as to the actions necessary to remedy the procedural irregularities.
- 5.9.9 An Appointments Appeal Committee may uphold an appeal on the merits of the case only if it finds clear evidence of misapplication of the appropriate criteria, or that insufficient weight was given to the evidence concerning the appellant's discipline or the written advice received by the Academic Appointment Review Committee.
- 5.9.10 The result of the appeal shall be communicated to the academic appointee and to the Dean (and Head, if applicable) by November 15.
- 5.9.11 The decision of the Appointments Appeal Committee is final and binding.

5.10 Requested Continuing Part-Time Appointment Status

- 5.10.1 An academic appointee whose appointment status is *With Tenure* may request a Continuing part-time appointment without loss of *With Tenure* status, on the following terms and conditions:
- a) the request for a change to a requested Continuing part-time appointment is initiated in writing by the academic appointee to the Head (or Dean or equivalent);
 - b) such a requested Continuing part-time appointment is for a specified term or to retirement;
 - c) during a requested Continuing part-time appointment, the academic appointee's workload may be reduced through:
 - i) full-time employment for not less than six months of the academic year, normally to include at least one of the four month periods September - December or January - April; or
 - ii) part-time employment (but not less than a half- time commitment to the University of Calgary) on a twelve months per year basis.
 - d) the academic appointee's duties and responsibilities under a requested Continuing part-time appointment, and a statement as to what proportion of the academic appointee's full-time appointment is represented by the requested part-time appointment, and during what period(s) of the year these services shall be rendered, shall be set out in writing and agreed to by the academic appointee and the Head and shall be recommended by the Dean or equivalent to the President, for approval.
- 5.10.2 Normally the overall requirements and expectations for requested Continuing part-time academic appointments made under this Section shall be proportionately the same as for full-time appointments.

- 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 into the personnel file of the appointee.
- 6.1.5 Every Continuing, Contingent Term, and Limited Term academic appointee shall regularly submit a report on the appointee's activities to the President. This report shall be in a form prescribed by the President and shall cover a reporting period established by the General Promotions Committee. This Report shall be central to the assessment and review process.
- 6.1.5.1 The absence of this report shall normally result in a zero increment award. Such a zero increment award shall normally be considered to be unsatisfactory performance.
- 6.1.6 Adjunct and Clinical appointees shall be assessed according to the criteria and process

established by their Faculty Council under the provisions of Section 3.14.4.

6.2 Written Assessment

- 6.2.1 The regular assessment of each academic appointee shall normally be prepared by the Head or equivalent as the appropriate administrative officer in the department or unit who is uniquely qualified to assess the impact of the appointee's contributions to the appointee's particular field. This senior departmental administrator must act in this area with prudence and after seeking advice from a variety of sources. The Head should explain to the department the principles on which the Head intends to make recommendations and be open to additional suggestions.
- 6.2.2 In Faculties or other units without a formal departmental structure, the Dean may elect to either:
- a) carry out this responsibility, in which case, the recommendations of the Faculty Promotions Committee shall be the recommendations submitted to the General Promotions Committee; and, a member of the Faculty Promotions Committee, other than the Dean, shall act as Dean for the purposes of the Faculty Promotions Committee and General Promotions Committee procedures, or
 - b) delegate this responsibility, within the Faculty or unit, to an appropriate individual such as an Area Chair, a Program Director, an Area Co-ordinator, an Associate Dean or equivalent, or to a committee.
- 6.2.3 The regular assessment of Heads, Assistant Deans, Associate Deans, and equivalents shall be prepared by the Dean or equivalent.
- 6.2.4 The regular assessment of an individual academic appointee's performance and recommendations for the award of a merit increment or for promotion in rank shall be prepared in writing. A copy shall be presented to the appointee concerned and an opportunity shall be provided for discussion within the scheduled time period established by the General Promotions Committee.
- 6.2.5 Assessments provide critical information for Promotions Committees. They should be comprehensive statements on performance and should reflect consideration of the performance of the academic appointee in relation to the criteria and descriptions for the appropriate rank as well as the carrying out of the responsibilities for teaching, research, and service, as appropriate. Assessments should be written so that recommendations presented can be understood without reference to other information or documentation beyond that specifically requested by the General Promotions Committee.
- 6.2.6 Standardized and concise assessment forms that best reflect the nature of activities in the Faculty or unit may be developed by the Faculty or unit within guidelines prepared by the General Promotions Committee.
- 6.2.7 It is the responsibility of the administrative officer writing an assessment to ensure that the academic appointee's performance in the teaching and supervision of graduate students also be included, following such appropriate consultations with the Faculty of Graduate Studies as may be necessary.
- 6.2.8 Where the performance during the assessment period is deemed to be "unsatisfactory" the administrative officer performing the evaluation shall clearly state this in writing.

- 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.
- 6.2.10 When the Head or equivalent is preparing a written recommendation in relation to the promotion of an individual to full Professor, the Head or equivalent shall have access to the letters from external referees (see Sections 6.3.4 and 6.3.7).
- 6.2.11 Prior to submission of recommendations to the Faculty Promotions Committee or equivalent, a Head or equivalent may formally seek the advice of a departmental committee. If the Head or equivalent chooses to seek the advice of a departmental committee, procedures shall be established and must be included with the Faculty guidelines and must be provided to the Provost and Vice-President (Academic) for distribution to the General Promotions Committee. The procedures adopted for any such departmental committee must include the following:
- a) They must provide for a consistent process within a department or equivalent. The same process must apply to every case.
 - b) They must determine how the membership of the committee is established.
 - c) They must specify how the cases of members of the departmental committee will be handled and must ensure that a member of the committee shall not be involved in the discussion of her or his own case.
 - d) They must specify the process by which the committee solicits any additional advice. This process may involve conducting interviews, soliciting written comments, a departmental meeting or some other fair process.
 - e) Except where a department is composed entirely of one gender, a departmental committee shall include both genders.
 - f) In the case of assessment and merit increment recommendation, the Head shall make the annual report and any additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the departmental committee. No other materials shall be circulated to the committee without the consent of the academic staff member, unless the Faculty guidelines specify otherwise.
 - g) In the case of promotion, the Head shall make the application for promotion, the curriculum vitae, and any additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the departmental committee. No other materials shall be circulated to the committee without the consent of the academic staff member, unless the Faculty guidelines specify otherwise. Under no circumstances shall the Head disclose to the advisory committee the contents of letters solicited from referees: such letters are confidential to the Faculty Promotions Committee.
- 6.2.12 The Head is solely responsible for the recommendation to the Faculty Promotions Committee; that is, where a departmental advisory committee is established in

accordance with 6.2.11, the advice of the committee shall not be binding on the Head.

- 6.2.13 All academic appointees shall be informed, in writing, of the nature of the recommendation being carried forward by the Head or equivalent to the appropriate Faculty Promotions Committee or equivalent.
- 6.2.14 The review of the performance of a Head, Area Chair, Program Director, Associate Dean, Assistant Dean, or any academic appointee (Teaching and Research) holding an administrative office shall be based on the general categories of performance as outlined in Section 3 with expectations adjusted to take into account the special duties and the fractional time commitment to administration associated with these positions.
- 6.2.15.1 Notwithstanding the payment of administrative honoraria, the administrative role and the quality of academic administration and leadership provided shall be taken into account when considering the overall performance.
- 6.2.16 It is the particular duty of the Dean, or Head, or equivalent to notify an academic appointee if the award of a zero increment for unsatisfactory performance is being recommended to the Faculty Promotions Committee. The Provost & Vice-President (Academic) shall also be notified in writing before the meeting of the Faculty Promotions Committee.

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PROCEDURES ON SUBMISSION OF ANNUAL REPORTS

Each faculty member is responsible to complete an Annual Report to the President, in the form prescribed, and to provide a copy of the report to the appropriate Divisional Associate Dean no later than the date specified by the Dean each year. (Associate Deans submit their annual reports to the Dean.)

Annual reports are located on a secure server from which the Office of the Provost and Vice-President (Academic) and the General Promotions Committee access the reports.

When a faculty member works in more than one Division, the Divisional Associate Dean preparing the report shall request a written memo from other Divisional Associate Deans as appropriate.

A Faculty of Education member holding a joint appointment to another faculty, but reporting through the Faculty of Education, shall request from the supervisor in the other faculty an annual letter of assessment. This letter shall accompany the annual report submitted to the Divisional Associate Dean in the Faculty of Education.

The annual report should provide a complete account of the faculty member's work for the year. Faculty members are strongly encouraged to include with their annual reports supporting documentation (such as copies of papers published, examples of reviews done within a refereeing process, teaching evaluations, etc.), so that the Divisional Associate Dean may gain a clearer understanding of the nature and quality of the work and is better enabled to speak for it at the Faculty Promotions Committee meeting. (Samples of work should be judiciously selected, however, so that the volume submitted is helpful, not burdensome.)

Failure to submit an annual report will result in a 0.0 increment award (unless extenuating circumstances can be demonstrated).

Faculty members may meet individually with the Divisional Associate Dean to discuss the report.

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The criteria used by the Divisional Associate Dean in making the assessment will be those indicated earlier in this document, along with a comparison of the work, in the given year, of others of similar rank and seniority.

6.3 Promotions

- 6.3.1 Recommendations for promotion in rank of academic appointees shall be prepared at the same time as the regular assessment.
- 6.3.2 Heads and Deans have a responsibility to review regularly the career prospects of their academic appointees to ensure that applications for promotion, particularly to full Professor, are submitted at the appropriate time.
- 6.3.3 It is the responsibility of the academic appointee to submit an application to the Dean to be considered for promotion to full Professor. Such application is to be accompanied by current curriculum vitae.
- 6.3.4 A recommendation regarding the promotion of an individual to full Professor shall be supported by external references as outlined in Section 3.8.
- 6.3.5 When considering a candidate for promotion, the Promotions Committee shall use information and documentation concerning the candidate's teaching, research, and service, including, for example, the candidate's qualifications, testimonials, publications, class materials, and signed reports by peers who have seen the candidate teach or perform professional duties.
- 6.3.6 For promotion to Associate Professor and to full Professor, Promotion Committees shall consider the complete career record of the academic appointee at the University of Calgary and elsewhere.
- 6.3.7 As far as is possible, such information and documentation shall be collected by the candidate. It is the responsibility of the Promotions Committee Chair to gather confidential material such as letters of reference from external referees. It is the responsibility of the Promotions Committee Chair to provide the Head or equivalent with the external referees' letters in a timely fashion.
- 6.3.8 Student submissions are admissible if they are written expressions, prepared by individual students and signed, that give justification for their view.
- 6.3.9 No anonymous material shall be introduced or considered with the exception of results of class surveys conducted under the auspices of the Department, Faculty, or General Faculties Council.

FACULTY OF EDUCATION**PROMOTION PROCEDURES**

Normally, a faculty member applies for promotion to Senior Instructor or Associate Professor.

A faculty member must apply to be considered for promotion to Full Professor.

Nevertheless, Divisional Associate Deans and the Dean are responsible to review regularly the career

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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 event, the Committee shall include:
- a) one member appointed by the Faculty Association (non-voting); and
 - b) one or more student members, selected by a process determined by the Faculty Council (voting).
- 6.4.6 The Information Resources Promotions Committee and the Student and Academic Services Promotions Committee are deemed to be equivalent to a Faculty Promotions Committee.
- 6.4.7 The Administrative and Professional Staff Promotions Committee is created in the interests of consistency, equity, and uniformity across the campus. This Committee shall

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.

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 or equivalent's recommendation which have not already been heard by a Faculty Promotions Committee or equivalent.
- 6.6.3 An appeal may be directed to the General Promotions Committee in the first instance only if a Dean's recommendation to the General Promotions Committee lowers the recommendation of the Head or equivalent.

6.6.4 Appeals to a Faculty Promotions Committee

- 6.6.4.1 A copy of the Head's written evaluation of an academic appointee which is being carried forward to the Faculty Promotions Committee shall be provided by the Head to the appointee concerned at least one week prior to the deadline for receipt of appeals by the Faculty Promotions Committee.
- 6.6.4.2 Any academic appointee (Teaching and Research) may appeal an assessment or an increment recommendation or a denial of promotion to a higher rank. Such an appeal and the grounds thereof shall be in writing to the Chair of the appropriate Faculty Promotions Committee, who shall circulate it to all committee members and to the Head (or equivalent).

- 6.6.4.3 In order to avoid conflicts of interest, a member of FPC, who is appealing his/her own merit increment must submit the appeal prior to accessing any FPC files.
- 6.6.4.4 The appeal should contain pertinent information related to the appointee's self-assessment of the teaching, research, and service contributions for the period under consideration.
- 6.6.4.5 When an appeal is being considered, the Chair of the Faculty Promotions Committee shall invite the appellant and the appellant's Head to be present together to provide any clarification of factual information which members of the Faculty Promotions Committee may request. The appellant and the appellant's Head shall not be present when the Committee deliberates and votes on the appeal.
- 6.6.4.6 After the meeting of the Faculty Promotions Committee, every academic appointee shall be advised in writing by the Dean at least one week before the deadline for receipt of appeals by the General Promotions Committee of the recommendations being carried forward to the General Promotions Committee.
- 6.6.4.7 If the Dean's recommendation to General Promotions Committee is less favourable to the candidate than the Head's recommendation, reasons shall be given in writing.
- 6.6.4.8 In cases where an appeal to the Faculty Promotions Committee is denied, the Dean shall advise the academic appointee in writing, giving substantive reasons for the denial of the appeal.
- 6.6.4.9 When an appeal of an assessment is upheld by a Faculty Promotions Committee, the Committee may direct that the assessment be modified before it is entered into the personnel file of the academic appointee concerned.
- 6.6.4.10 At any Faculty 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.
- 6.6.4.11 An academic appointee who wishes to appeal a recommendation and who is on an approved leave of absence that precludes attendance, may name a representative (who must be a member of the Continuing, Contingent Term, or Limited Term academic staff) who may act for the academic appointee concerned in all stages of the appeal.
- 6.6.5 Appeals by Academic Appointees (Administrative and Professional)**
- 6.6.5.1 The procedures for appeals by academic appointees (Teaching and Research) to a Faculty Promotions Committee outlined above shall apply to academic appointees (Administrative and Professional).
- 6.6.5.2 Appeals shall be directed to the Chair of the Information Resources Promotions Committee, Student and Academic Services Promotions Committee, or the Administrative and Professional Staff Promotions Committee, as appropriate.
- 6.6.6 Appeals to the General Promotions Committee**
- 6.6.6.1 Every academic appointee shall be informed in writing at least one week before the deadline for receipt of appeals by the General Promotions Committee of the

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 the candidate than the recommendation of the Dean (or equivalent) to the General Promotions Committee, the Chair of General Promotions Committee shall advise the academic appointee, the Dean, and the Head in writing of the reasons for such action.
- 6.7.3 In every case where the recommendation approved by the President is one of "unsatisfactory performance" the Dean shall outline the performance deficiencies, in writing, along with a statement of the improvements expected of the academic appointee, as well as the possible consequences of sustained unsatisfactory performance.
- 6.7.4 Promotions usually take effect on July 1.

SECTION 7: DISMISSAL

Academic appointments may be terminated by dismissal (by reasons for cause, of financial exigency, or of redundancy), resignation, or retirement. Only procedures for termination by way of dismissal are within the jurisdiction of the General Faculties Council. Procedures for resignation and retirement have been included for information in Appendix B: Terminations Other Than Dismissal.

7.1 Academic Appointees: Dismissal for Cause – Definitions

- 7.1.1 For purposes of dismissal, academic appointee is defined in the **Post Secondary Learning Act**, Section 1(c) as:

"...an employee of the board of a public college, technical institute or university who, as a member of a category of employees or individually, is designated as an academic staff member under this Act."

7.1.2 For purposes of 7.1.1, academic work refers to that work for which the defence of academic freedom would be appropriate by reason of the terms of employment.

7.2 Academic Appointees: Dismissal for Cause – Procedures

7.2.1 Where the Provost & Vice-President (Academic) has reason to believe that an academic appointee should be dismissed for good and sufficient cause and the academic appointee, within 21 days of being so notified in writing by the Provost & Vice-President (Academic), requests the matter to be submitted to a hearing, the procedure to be followed in cases of dismissal for cause is the arbitration process that may be set out in the articles of the *Collective Agreement Between The Governors of the University of Calgary and the University of Calgary Faculty Association*, and includes those articles as they may be amended from time to time.

7.3 Dismissal for Sustained Unsatisfactory Performance (Successive Zero Increments)

7.3.1 In any case where a member of the academic staff who, though entitled to receive increments, is awarded two zero increments in succession by the President on the advice of the General Promotions Committee, the Dean of the Faculty concerned (if the second zero increment was initially recommended by a Faculty Promotions Committee) or the Provost & Vice-President (Academic) (if the second zero increment was initially recommended by the General Promotions Committee) shall, unless cause can be shown to the President why such action should not be pursued, formulate in writing grounds for dismissal for good and sufficient reason.

7.4 Senior Administrative Staff: Dismissal for Cause

7.4.1 Senior Administrative Staff shall include at a minimum Vice-Presidents, Associate Vice-Presidents, and Assistant Vice-Presidents, if any. Other persons, such as Deans, may be so designated by the Board of Governors pursuant to S.83 of the **Post Secondary Learning Act**.

7.4.2 Such members may be dismissed from office for gross misconduct or incompetence in relation to their reasonably assigned duties as the President may find with absolute discretion and without reference to academic freedom.

7.4.3 The President may follow a formal or informal procedure, provided that such procedures shall comply with the requirements of a full and fair hearing before an impartial trier of fact, which may include a hearing before the President only.

7.4.4 This section shall not apply if the allegations against the senior administrative staff member relate to the staff member's other appointment as a member of the Academic Staff (Research and Teaching) or of the Academic Staff (Administrative and Professional).

7.5 Dismissal for Reasons of Financial Exigency

7.5.1 The first duty of the University is to ensure that academic priorities remain paramount particularly in regard to the quality of instruction and research. The General Faculties Council will therefore, when faced with budgetary restrictions, recommend to the Board of Governors that the Board will ensure the primacy of the University's educational functions by considering cuts in academic programs or resultant cuts of Board appointments only after all practicable cuts have been made in all other budgetary areas of the University.

- 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 Council recommends that the Board of Governors consult with the Faculty Association before declaring a state of financial exigency.
- 7.5.4 After the Board of Governors has dealt with the General Faculties Council recommendations, the University Budget Committee together with the University Planning Committee shall proceed to re-allocate funds to the budget units. If it appears that dismissal of academic staff due to reasons of financial exigency is necessary, the Faculty Association shall be informed of the situation in writing.
- 7.5.5 The General Faculties Council will urge the Faculty Association to make proposals to the Board of Governors relating to salary savings which will become the subject of immediate negotiations. These proposals will not include dismissals but will relate to alternative measures designed to preclude dismissals.
- 7.5.6 If these negotiations do not resolve the problem and savings are still required, the University Planning Committee in conjunction with the University Budget Committee will allocate the required budget cuts to budget units with the instruction to effect the necessary savings in a way which best preserves the University's ability to meet its fundamental teaching, research and service functions.
- 7.5.7 Faculty budget savings will be accomplished by the Deans on the advice of Faculty Promotions Committees. If dismissals are judged to be necessary, Faculty Promotions Committees and Deans will be guided in their deliberations by the same criteria of quality as in promotions. Seniority will be considered other factors being equal.
- 7.5.8 Deans' recommendations must be submitted to General Promotions Committee for approval before being passed to the President for referral to the Board of Governors.
- 7.5.9 Any individual may appeal a Dean's recommendation to the General Promotions Committee utilizing a parallel procedure to that used for promotions as per Section 6.6.6.
- 7.5.10 The terms of dismissal for reasons of financial exigency (e.g., severance pay, grievance procedures, period of notice, retraining opportunities, fringe benefits during layoffs, access to laboratories, and other research facilities etc.) are negotiable between the Board of Governors and the Faculty Association.
- 7.5.11 In the event that a position becomes available through retirement, resignation, death, or the cessation of the state of financial exigency, individuals on Continuing appointments dismissed due to financial exigency shall be informed of the vacancy in writing. If they choose to apply for such a position, they shall have the right of first refusal for positions for which they are qualified or for which they can be reasonably retrained. The order of recall within each budget unit shall be opposite the order of dismissal. Prior consideration shall be given for a period of five years.

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.

APPENDIX B TERMINATIONS OTHER THAN DISMISSAL

B.1 Resignation

- B.1.1 A member of the academic staff intending to resign shall write a formal letter of resignation to the President, with a copy to the Head of the Department and to the Dean, as early as possible, and preferably not later than four months before the date of resignation.
- B.1.2 For an academic staff member (Teaching and Research), the effective resignation date will normally be the termination of the current academic year (i.e. June 30). In such a case, the accrued vacation time will normally be considered to be the month of June and the academic staff member resigning will have completed all assigned responsibilities on May 31 but will be paid until June 30. If the Head of a Department and Dean require the performance of specific duties beyond May 31, a special case must be presented to the President, and if the President concurs, the academic staff member who is resigning will be paid salary in lieu of the vacation time missed as per the relevant section of Schedule "A". If it is deemed necessary that the individual continue beyond June 30, a request for special appointment must be made to the President.
- B.1.3 For an academic staff member (Administrative and Professional), the effective resignation date will normally be the termination of the current academic year. An academic staff member (Administrative and Professional) who has given at least four months' notice of such resignation, shall receive salary in lieu of the normal vacation entitlement as per the relevant section of Schedule "A". The staff member is expected to continue working at the University until the effective date of resignation.
- B.1.4 An academic staff member (Teaching and Research) who resigns at an effective date during the academic session, i.e. between September 1 and Spring Convocation, and who has given at least four months' notice of such resignation, shall receive salary in lieu of the normal vacation entitlement as per the relevant section of Schedule "A". The staff member is expected to continue working at the University until the effective date of resignation.
- B.1.5 For those academic staff members appointed prior to 1 July, 1966 with the expectation of the normal end-of-year being August 31, this date will continue to be used as the normal effective resignation date for such persons. In such cases, salary will be continued to August 31, regardless of the date of any new appointment elsewhere, provided nevertheless that, between Spring Convocation and August 31, the academic staff member resigning will perform any specific duties required and will take his/her appropriate vacation. If the Head of the Department and Dean require the member of the academic staff resigning to perform specific duties between Spring Convocation and August 31 which preclude taking a one month vacation, a special case must be presented to the President and, if the President concurs, the academic staff member resigning will be paid one month's salary in lieu of the vacation missed.

B.2 Retirement

- B.2.1 The appointment of a Continuing academic staff member will normally terminate on June 30 following the acceptance by the University of a request to retire (or August 31 for those academic staff members who were appointed prior to July 1, 1966, in anticipation of the normal end-of-year date being August 31).

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