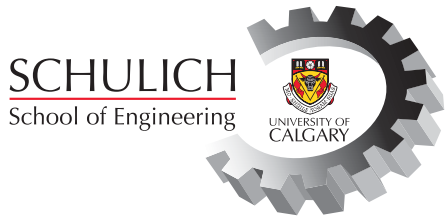

University of Calgary

Schulich School of Engineering

Guidelines and Procedures on Merit Increment Recommendations, Appointment, Promotion and Tenure

As Approved by the Engineering Faculty Council
October 1, 2008

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1 INTRODUCTION

The Schulich School of Engineering is committed to the goal of being a leading institution in engineering research and education. Attracting, retaining and rewarding top quality engineering professors are keys to achieving this goal. Such a commitment to its faculty members requires the necessary mechanisms to ensure that world-class researchers and educators are recognized and rewarded, and that high calibre junior and senior faculty are recruited to strengthen the School in existing and emerging areas of engineering.

The Schulich School of Engineering *Guidelines and Procedures on Merit Increment Recommendations, Appointment, Promotion and Tenure* define the mechanisms and metrics that will be used to assess the performance of faculty members. The document reflects the School's commitment to excellence within an environment that thrives on its members' diversity of pursuits.

It is required that this document be read in conjunction with the University's documents (http://www.ucalgary.ca/provost/faculty/academic_agreements):

- *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), and
- *Manual of Policies and Procedures for the [Annual] Assessment of Academic Staff (Salary Increments and Promotions)* (GPC Manual).

1.1 Use of this Document

The purposes of the *Guidelines and Procedures* are:

- to define standards of performance,
- to guide faculty members in establishing their goals, and
- to define procedures for promotion and tenure applications.

Faculty members should use the performance standards defined for the different academic ranks as a **general guide** to the expectations of the School. Faculty members are strongly encouraged to discuss these standards and expectations with their Heads of Department, and formulate academic and professional goals that are consistent with their individual career objectives and with the goals of their department and the Schulich School of Engineering.

Heads of Department must use the guidelines in carrying out their duty to mentor faculty and ensure that faculty members have a reasonable expectation of achieving their goals and being rewarded for their performance. Heads of Department should make themselves available to faculty to discuss their performance and to assist them in achieving their academic and professional goals.

Heads of Departments, Departmental Promotion Committees, the Faculty Promotion Committee, the Academic Appointment Review Committee and the Dean of Engineering must use the guidelines and procedures defined both in this document and all relevant University documents to assess the performance of individual faculty members. Both specific performance standards and the spirit of these guidelines are to be upheld in the execution of their duties.

1.2 General Guiding Principles

The performance standards and expectations defined in the *Guidelines and Procedures* pertain to all three primary functions of the University, namely:

- teaching at the undergraduate, graduate, and post-degree continuous learning, levels,
- research and scholarship, and
- service to the School, the University, the profession, industry, and the community.

All three functions are important to the success of the School. Individual leadership and excellence in these functions are valued and therefore encouraged. The Schulich School of Engineering further recognizes that the contributions of its faculty members will reflect their rank, seniority, and the diversity of pursuit necessary in a team environment. The strength of the School and its departments stems from the synergy achieved by the variety of professional activities undertaken by individual faculty members.

It is expected that all faculty members will participate and perform in all three functions. However, the balance of the three primary functions may differ from one individual faculty member to another and from one year to the next. Teaching workloads may vary due to the number, type and level of courses taught. Faculty members may want to capitalize on research opportunities, or may be asked to undertake tasks critical to the success of the Schulich School of Engineering and the University. This flexibility allows the departments and the School to succeed as a team. As a result, firm numerical weights for the three functions are not used. However, there is an expectation that lower levels of performance and productivity in one area will be balanced by heightened performance in another, and that an acceptable level of performance is expected in all three functions.

In addition to the performance guidelines and expectations defined in this document, faculty members should exhibit a number of characteristics that are crucial to the goals of the School and its commitment to excellence:

Technical Competence: Top quality engineering professionals require a strong foundation of technical competence. Faculty members must be able to demonstrate and transfer their technical competence to future engineering graduates, at both undergraduate and graduate levels. Furthermore, a solid base of technical expertise and knowledge is necessary in order to conduct a scholarly research program.

Integrity: Faculty members are expected to exhibit integrity in exercising their duties. The engineering profession requires adherence to a Code of Ethics (http://www.apegga.org/About/ACT/code.htm), which must be fostered in students undertaking their engineering studies. This is best achieved by example. Excellence in research and scholarship also depends on the integrity of researchers.

Collegiality and Teamwork: The success of the Schulich School of Engineering and its goal to be a leading institution requires teamwork and a collegial spirit, both within departments, as well as across the wider School and University communities. Faculty members should look for

opportunities to collaborate on synergistic research projects and establish teams to address challenges in engineering education. Furthermore, the proper functioning of the School requires active participation of individuals with diverse skills to formulate and implement the strategic plans and initiatives of the departments and the School.

Leadership: Key to the success of the School and its goal of being a leading institution is the willingness of individual faculty members to take on leadership roles and act as champions. Leadership must not be limited to individual initiatives or even departmental activities, and needs to extend into the engineering profession and the wider community.

International Outlook: The Schulich School of Engineering has a number of formal international exchange programmes that showcase its international outlook. These programmes must be supported by educational curricula that expose students to international engineering practices and challenges. Faculty members are also encouraged to develop international education activities and consortia (e.g. teaching at institutions outside of Canada). This international outlook on the engineering profession must also extend to research, where faculty must strive to undertake research that is not only relevant to local and national contexts, but also impacts the discipline at an international level. This involves faculty participation in international research initiatives, conferences and exchanges.

1.3 Teaching

One of the School's primary functions is the provision of an excellent education experience to its undergraduate and graduate students. Faculty members are expected to be effective educators and should be actively involved in the design and implementation of appropriate learning environments that maximize the potential for learning, and optimize the use of available resources.

1.4 Research

Research is another primary function of the School; and therefore, considerable emphasis is placed on the pursuit of knowledge, research activities and scholarship. Faculty members are expected to conduct fundamental research and/or applied research concentrated on providing innovative solutions to real-life problems, thereby achieving true distinction and international recognition.

Synergistic research opportunities within the School and the wider University community should be explored, in addition to developing links with industry and internationally recognized universities and research institutions. Researchers should also be actively involved in the dissemination of new knowledge and the appropriate transfer of intellectual property and technology commercialization.

1.5 Service

Service is a primary function for all faculty members. It includes service to the students, department, School, University, profession, community, and to industry.

Service is essential for effective and participatory self-governance, collegial functioning, and the leadership role of the Schulich School of Engineering within the engineering profession and the

wider community. Service also has an impact on the outlook of faculty members and on their approach to teaching and research. Faculty members are expected to actively participate within the School's team environment. Faculty members are strongly encouraged to serve in leadership roles and to promote and support teamwork within their capacities.

2 EXPECTATIONS AND ASSESSMENTS

Quality performance is required to meet the Schulich School of Engineering's imperative of excellence. As a result, all faculty members are expected to strive for quality performance in the primary functions of the University: teaching, research and service. The assessment process must ensure that the quality and impact of the contributions are fully considered, and that quantity metrics do not play a dominant role in the assessment process.

Performance should be consistent with rank and seniority. In the case of Professors, there is a demarcation between those with less than approximately eight years experience as Professors and those with approximately eight years or more of experience as Professors. The latter are considered to be Senior Professors and have higher levels of expectations placed on them by the School.

Faculty members are encouraged to meet annually with their Heads of Department to discuss the goals and expectations of the individual, department, and School. An individual's concerns might include his/her career objectives, the type and content of publications, and workloads. The Department Head will not only be concerned with the individual faculty member's needs but will also be concerned with the needs of the department and the School. It should be recognized that the success of the departments and the School can only be achieved by the diversity of the professional activities and strengths of the individual faculty members.

All Initial Term, Contingent Term and Limited Term faculty members are required to meet with the Department Head in the intervening year between the years of formal assessment to discuss their Academic Performance Report and their career progress.

2.1 Teaching Expectations

The provision of a valuable education experience to the Schulich School of Engineering's students is one of the primary functions of a faculty member. It is expected that faculty members will not only be effective educators with a strong commitment to quality teaching but will strive for excellence in the activities associated with teaching performance and accomplishments.

First class teaching involves an effective dissemination of knowledge, and an ability to inspire students to learn, to develop critical thinking skills, to analyze and construct conceptualizations and ideas, to create effective solutions, to broaden horizons, to promote invention, and to sustain intellectual inquisitiveness.

Teaching can take many forms. While lectures, tutorials and laboratory instruction and supervision as well as the supervision of graduate students' research are the most obvious types of instruction, teaching may include many other educational activities. Dialogue and interaction with students on

day-to-day academic and research activities, as well as on special projects, and mentor relationships with internship students provide scope for effective education.

Effective teaching performance and accomplishment is encouraged through numerous activities including:

- developing clearly articulated teaching and learning objectives;
- planning, preparing and updating course curricula;
- creating appropriate and challenging but fair assignments and examinations for assessment purposes;
- interacting with and mentoring students through lectures, labs, tutorials, seminars, supervision, field work, office hours, meetings;
- providing coordination, as required, for multi-section courses, including common assessment methods;
- developing teaching styles that recognize and accommodate various student learning styles;
- developing an inclusive and respectful classroom climate;
- encouraging student participation and experiential learning;
- researching, developing and implementing new innovative forms of instructional methods, materials and delivery, including computer-aided learning facilities;
- providing an international perspective to students;
- participating in educational scholarship through the development of educational materials and publication in educational journals; and
- participating in internal and external teaching workshops and educational conferences.

Faculty members are expected to communicate regularly with students outside of classes. They should generally serve as role models and mentors to students.

An important component of the teaching function is the effective supervision and timely graduation of graduate students. Supervision includes the mentoring and regular meetings associated with training of a graduate student in order that he/she fulfills the academic requirements of a graduate studies programme. Faculty members are also expected to encourage the overall development of graduate students through publications and presentations; international study, research or work experience; and applications for scholarships and awards.

Contributions to graduate student training also include membership on supervisory committees, participation in PhD candidacy examinations, and participation in final oral examinations for MEng, MSc, and PhD degrees.

Leadership in education can take the forms of development and/or improvement in educational techniques and materials, publication of textbooks, new course development, incorporation of new technologies, innovative approaches to teaching, and development of computer-aided learning facilities. Instructors of all ranks are expected to undertake educational scholarship to improve teaching effectiveness and to maintain currency in the field.

An international outlook in teaching is encouraged. This may include the use of international examples in curriculum content, guest lectures at international institutions, and guest lectures by international visitors, where appropriate. The opportunities to incorporate international components increase with progression from fundamental courses to advanced courses.

The effectiveness of instruction should typically improve as a faculty member's academic career progresses.

2.2 Teaching Assessment

The quality of teaching activities and contributions are determined by a variety of measures such as student ratings, peer evaluation, teaching awards, a teaching dossier, and by visits from the Department Head, the Dean, or their delegates to lectures, tutorials and laboratories.

The overall teaching load, class size, class type (e.g. lecture, laboratory), available resources, and the level at which courses are offered (e.g. common core, third or fourth year, or postgraduate) are also taken into account when teaching effectiveness is evaluated. Evidence of efforts to improve teaching effectiveness may be requested by the Head of the Department or the Dean in cases of low overall teaching assessment or documented teaching difficulties.

Demonstrated improvements in teaching effectiveness and learning environments will be considered in the assessment of merit, promotion and tenure.

2.2.1 Student Evaluation

Student evaluation is a crucial component in providing evidence of teaching effectiveness. Such an evaluation is comprised of two components:

1. All undergraduate lecture sections are subject to the student teaching evaluation procedures as approved by the General Faculties Council and administered by the Office of Undergraduate Studies. The information is made available to the faculty member, the Department Head, the Associate Dean (Academic and Planning), the Associate Dean (Teaching and Learning) the Dean and, when appropriate, the coordinator of a multi-disciplinary programme. The Department Heads review the student comment sheets in conjunction with the student USRI evaluations.

2. Every session, the Heads of the Departments, Associate Heads, coordinators of multi-disciplinary programmes, or their representatives will meet with student representatives to discuss courses. In discussions with students, every course will be reviewed. For common core curriculum courses, the Associate Dean (Academic and Planning) acts as the Department Head.

If, in the course review, a problem is indicated, the Department Head should take action through peer evaluations. More than one peer evaluation may be necessary.

2.2.2 Peer Evaluation and Class Visitations

Peer evaluations of teaching performance are another measure of teaching performance. With prior notification to the Head of the Department or coordinator of a multi-disciplinary programme, a faculty member may request peers to attend his/her lectures, to audit and review teaching capabilities and proficiencies, and to provide written input to the Department Head, the Dean, the coordinator of a multi-disciplinary programme, or their delegates. The Department Head may also arrange for peer evaluations of a faculty member.

The Head of the Department, the Dean, the coordinator of a multi-disciplinary programme, or their delegates may also gather information on an individual faculty member's teaching performance and accomplishments by attending instructional periods, such as lectures, tutorials and laboratories. For courses that are part of the common curriculum, the Associate Dean (Academic and Planning) is considered to be the equivalent of a Department Head.

It is required that faculty members receive reasonable notification prior to visits. Notice should be given as to the session in which visits may take place and should be received by the faculty member at least one week in advance. Information gathered during these visits is provided to the faculty member, the Departmental Merit Committee (see Section 3.2.2), the Faculty Promotion Committee (see Appendix A), and the General Promotions Committee, when appropriate.

2.2.3 Teaching Dossier

Development of a teaching dossier is encouraged for all faculty members but is of particular importance for the Instructor ranks. For applications for promotion or tenure, this should be included in the overall dossier submitted for tenure or promotion, as evidence of teaching effectiveness. The dossier could include lectures notes, examples used, course development, descriptions of teaching innovations, student comments, and self-evaluation. Guidelines for the format of the Schulich School of Engineering's dossier are included in Appendix C, Documentation.

2.2.4 Supervision, Examination and Graduation of Students

An integral component of a faculty member's teaching responsibility is the supervision and timely graduation of graduate students at both the masters and doctoral levels. Factors for assessment may include: number of graduate students supervised and graduated, level of participation in supervisory and examining committees, and mentoring students regarding involvement in teaching activities. Graduation of MEng degree students is important to the overall goals of the School. It is recognized that thesis-based masters students require more supervision than course-based MEng students.

Mentoring and supervision of engineering internship students and students involved in design and final year projects, as well as design competitions, are important teaching contributions to the undergraduate curriculum. Factors of assessment may include: number of students supervised, level of interaction, quality of project and/or publications, and recognition resulting from the work. For information on the research component of the supervision of graduate students, refer to Section 2.3.3.

2.2.5 Other Teaching and Scholarship Activities

Development and publication of widely circulated teaching materials, course materials, and textbooks which, for example, have become recognized as a standard in industry or academia, are also recognized as valuable contributions to teaching and scholarship activities.

2.3 Research Expectations

Faculty members are expected to conduct research, either of a fundamental or applied nature, that will advance knowledge and understanding, yield engineering innovations, and have national and international relevance. Faculty members must be actively involved in the dissemination of research results and new knowledge through publication and transfer of intellectual property that result in positive contributions to society.

Research performance can be measured in terms of quality, impact, and quantity. It must be noted that quality and impact must be regarded as the most relevant parameters indicating performance. Successful research includes an appropriate balance of peer-reviewed publications, supervision of graduate students and highly qualified personnel, awarded research grants and contracts, and knowledge transfer to society.

Research performance should be consistent with rank and seniority. Research activities should expand and increase in their national and international importance and recognition as a faculty member's academic career develops.

Research performance is assessed based on four main criteria:

1. peer-reviewed publications,
2. training of Highly Qualified Personnel (HQP),
3. grants and contracts, and
4. knowledge transfer.

The individuals and committees involved in the research assessment process must ensure that the quality and impact of the contributions are considered a priority, and that quantity metrics do not play a dominant role in the assessment process.

In recognition of the fact that research disciplines and research fields have specific norms that define research quality, research performance may be assessed reflecting these discipline-specific norms. It is the responsibility of the faculty member to substantiate these norms if they differ from the criteria outlined within this document.

In order to assess the role of the faculty member in collaborative work, the faculty member should summarize her/his collaborative philosophy in a brief statement. This statement should include the authorship philosophy applied to published work, the roles in collaborative grants and contracts, and the philosophy of co-supervision.

2.3.1 Peer-Reviewed Publications

The most important research publications are those that have been reviewed and accepted by informed peers. Research published in peer-reviewed journals of international reputation is therefore recognized as high quality research and plays a prominent role in the assessment of a faculty member's performance. The impact of the publication, inherent in the review process, may be further substantiated by external referees, or published impact factors.

2.3.1.1 Full Peer-Reviewed Papers in Conference Proceedings

The publication of research results and new knowledge in conference proceedings is a recognized activity within research performance. The quality of such publications can be ascertained by the quality of the conference, as well as by external referees. Papers published in conference proceedings on the basis of peer-review of the full-paper are recognized as high quality research output. Faculty members applying for Promotion, or for Appointment with Tenure should provide evidence of the peer-review process for peer-reviewed papers in conference proceedings.

2.3.1.2 Other Publications

Books related to research and written at a senior undergraduate or a postgraduate level, or are used by industry, are also recognized as valuable contributions to research. Faculty members are encouraged to collect information on the sales of these books, and the extent to which these books are used in formal courses, thereby providing evidence of the impact of these publications on the discipline.

Scholarly contributions that may also be considered in the assessment process include non peer-reviewed papers; invited presentations; abstracts published in conference proceedings; published notes and contributions to the media (TV, press, radio); book reviews; and other publications or reports. Such contributions can be a valuable measure of knowledge transfer (see Section 2.3.4). Faculty members may request that individuals and committees involved in the assessment process review specific publications to ascertain their research quality. If such research contributions are judged to be of high quality or high impact they will be considered in assessing the overall quality of research performance.

2.3.2 Research Grants and Contracts

Funding through grants and contracts is an important research accomplishment. The number, size, source and variety of research grants and contracts secured by faculty members can be indicative of research activity. While the inclusion of such a research input (research dollars) may appear inconsistent with an assessment of research contributions, information related to funding from grants and contracts does provide indirect evidence of research performance. It is important, however, to demonstrate that the research input has been successfully transformed into research output.

The award of a grant or contract provides evidence that a faculty member is capable of formulating and planning a research project, and that the faculty member can identify innovative and novel

approaches to fundamental and/or applied research. Grants and contracts awarded under a competitive process are deemed better indicators of research performance than funding awarded under a noncompetitive process. Grants and contracts involving rigorous peer review processes are the best measure. This latter determination is based on the fact that the peer review process associated with the grant or contract provides a mechanism to validate the quality and impact of the research.

It is important to emphasize that it is the award of the grant or contract that is the primary metric under this heading. The reduced importance placed on the size of the grant or contract is based on a recognition that the available sources and their funds vary widely with the discipline and field of research. The type of research, whether computational, experimental or theoretical in nature, also influences the financial resources needed to undertake the research and therefore the size of grant or contract.

While there are many sources available for funding, the Schulich School of Engineering has identified NSERC research grants (or equivalent national or international research council grants) as important indicators of research performance. This emphasis on such grants is based on the rigorous peer review process employed by national research councils.

Involvement in research contracts is considered favourably in the assessment of research productivity. It is recognized, however, that certain fields may be more amenable to contract work than other disciplines.

2.3.3 Training of Highly Qualified Personnel

Effective supervision of the research component of a graduate student programme includes: training and assistance with research design; critical thinking; the logic of scientific experimentation and discovery; documentation and presentation of thesis research; exposure to the relevant scientific literature; and approaches critical to the field of research. It is important that the student be provided with exposure to investigators in the field through activities such as research seminars, participation in scientific conferences and meetings, and collaboration with industry.

The quality of the research training and research produced under the direction of the faculty member is a metric of research performance. Measures of quality include feedback from external examiners on the quality of the theses, and the external placement of graduates. Faculty members are encouraged to track the career progress of their graduate students after graduation as evidence of the impact of their training of highly qualified personnel. The training of highly qualified personnel can
also extend to the supervision of postdoctoral fellows, research associates and technicians. Metrics similar to those used for graduate students are employed to assess the quality and impact of such training and supervision.

2.3.4 Knowledge Transfer

In engineering disciplines, valid scholarship can take forms other than publication. Patents and licenses, original designs and their implementation, inventions, innovations and licensed computer

software are all examples of valid research contributions that are recognized in the assessment of a faculty member's research performance. Due to the nature of these contributions, each creative research activity under this heading must be assessed on a case-by-case basis. Faculty members are encouraged to collect information that demonstrates the impact of these contributions to the discipline and the engineering profession. External referees may also be used to substantiate the quality and impact of a creative research activity.

Conferences play an important role in the dissemination of research results. An invitation to organize conference sessions, to give a keynote address, participate in a plenary session, or to chair a conference can be indicative of a faculty member's recognition in the discipline and the profession.

The practical or field implementation of a faculty member's research results is a measure of research performance. In some engineering disciplines, such implementation may involve the incorporation of research results and improved methodologies within design codes and standards. Requests to use or license software, hardware, methodology, or a database developed by a faculty member are also indicative of valid research contributions.

2.3.5 Other Research Contributions

The following are some examples of other contributions that can be indicators of a faculty member's research accomplishments and recognition.

- Awards for research publications and/or accomplishments, special distinctions, and honorary degrees.
- Editorship of peer-reviewed journals.
- Fellowship of a prestigious scientific or professional society.
- Invited conference presentations, keynote addresses; plenary sessions.
- Organizing or chairing conferences or conference sessions.
- Invited lectures or distinguished professorships at prestigious universities and institutes.
- Invitations to collaborate on multi-institutional research projects; Co-investigator in a consortium of high quality researchers.
- Incorporation of research results and improved methodologies in licenced software, hardware, design methodology or developed databases.
- Authorship of books or book chapters, special issues of reputable journals; reproduction of publications in books or collections

- Membership in a national or international body on research policies and plans.
- Interviews by the news media and writing technical articles for the general public.
- Scholarships and awards held by supervised graduate students and postdoctoral fellows.

2.4 Service Expectations and Assessment

Service is the third primary function of faculty members. It is essential that faculty members actively participate in and promote the team environment activities of the service function. Service

includes a broad spectrum of activities, both internal and external to the University. It includes service to the students, departments, School and University, as well as service to the engineering profession, industry and the wider community. Expectations in contributions to service should increase as a faculty member's academic career develops. Service includes:

- committees at the departmental, School and University levels.
- service to professional organizations, including international organizations; engineering, technical or professional societies; and local, provincial, federal and other agencies.
- service to the community including interaction with potential students.

Faculty members are strongly encouraged to serve in leadership roles and this is expected to increase with rank.

The assessment of service performance is highly dependent on the quantity and quality of service provided. Special attention is given to an individual who has played a leadership role, made significant contributions to the success of the team or committee, or has provided other distinguished service that may bring special distinction to the department, School, University or an external group. Special attention is also given to those that receive service awards and/or recognition.

2.4.1 University Service

Student-related service activities may include organizing student involvement in an engineering competition or special seminars for students.

Active participation and/or leadership in departmental, School and University committees, and involvement in university service outside of committees, are taken into consideration when assessing a faculty member's service performance. Serving as Neutral Chair for Candidacy and Thesis defence committees is also considered as important service. Letters from committee chairs and/or multi-disciplinary group chairs may be requested by the faculty member, the Department Head, or the Dean as documentation of the individual's service activities.

2.4.2 Service to the Profession and to Industry

Active involvement in professional organizations, technical and professional societies, provincial and national granting councils, local, provincial and federal government agencies, editorial boards of peer-reviewed technical journals, and chairing of conferences are examples of service performance. Consistent with the value placed on an international outlook, the School encourages and rewards faculty members who participate in these service activities at local, national and international levels.

Faculty members could also establish additional research and service partnerships with granting councils and other institutions. Service to the profession can occur at local, regional, national and international levels.

There are several approaches to industry service and collaborative initiatives with industrial partners. Faculty members could cooperate with industry, including non-engineering sectors, in educational and research ventures. Industry advisory boards for departments, programmes and initiatives can be established or enhanced. Also, faculty members could participate in or foster exchange positions between the School and industry.

2.4.3 Service to the Community

Two examples of possible service to the community are association with alumni activities and service on joint councils with members from the Schulich School of Engineering and from the external community. Enhanced interaction with potential students and the community, particularly through schools, is encouraged. Educating the public on engineering issues, speaking for the engineering profession and technical community, participating as an expert in the development of public policy, and granting interviews with news media are all recognized as service to the community. Volunteering for non-professional or community activities is also valued as community service.

International development activities (see Section 1.2, International Outlook), in the context of these examples, are highly valued as community service.

3 MERIT ASSESSMENT AND INCREMENT RECOMMENDATIONS

Performance is evaluated in order to recognize and reward achievements. The accomplishments in teaching, research and service should be fully documented in a faculty member's Academic Performance Reports. The assessment of a faculty member's performance is based on the expectations and the assessment measures listed in Section 2.

The process for merit increment recommendation involves evaluation of a faculty member's performance report and conscientious assessment of the member's performance in teaching, research, and service. The merit assessment process involves judgement on the basis of the available information and the criteria outlined in this document.

Diversity, in the balance of productivity in the three primary functions, is respected. There is an expectation that lower levels of contributions in one function will be balanced by heightened performance in one or both of the remaining functions, **provided that an acceptable performance is demonstrated in each function**. The merit assessment process is flexible with a variety of ways in which faculty members can be recognized for pursuing excellence.

Overall performance expectations rise with rank and career development. Furthermore, the Faculty Promotions Committee and Departmental Merit Committees are required to be progressively more rigorous as a faculty member's seniority increases within the rank of Professor.

Table IV, Appendix B, provides running averages of metrics related to teaching, research, and service. These statistics are to be used by faculty members to gauge their own performance, and to assist them in the planning of their research goals and activities.

More information regarding merit assessment and increment recommendations is available in the University's documents (http://www.ucalgary.ca/provost/faculty/academic_agreements):

- *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), in particular Sections 3.0 and 6.0, and
- *Manual of Policies and Procedures for the [Annual] Assessment of Academic Staff (Salary Increments and Promotions)* (GPC Manual), in particular Sections 2.5, 5.0 – 9.0.

3.1 Academic Performance Report

In accordance with the University of Calgary guidelines, each faculty member must prepare and submit a performance report to the Head of the Department prior to the stated deadline. More information on performance reports is available through the myUofC portal.

It is the responsibility of the faculty member to fully document contributions and achievements in teaching, research and service during the reporting period. Any contribution or achievement not included in the performance report may not be taken into account in the performance evaluation.

- All teaching activities should be recorded in appropriate sections of the performance report, including student course evaluations and/or alternate evidence of teaching effectiveness, supervision and graduation of master's and doctoral students, scholarship and innovations related to teaching, peer evaluations of teaching effectiveness, etc.

- All research outputs should be recorded in appropriate sections of the performance report, including peer-reviewed publication and/or presentation of research, books or book chapters, technology transfers, contract research reports (excluding confidential reports related to OPA), patents and licenses, etc. Manuscripts that are in press or accepted/submitted for publication, during the reporting period, are not considered in the performance evaluation.

- Research funding should be recorded in appropriate sections of the performance report. In the case of collaborative and multi-disciplinary research, it is important that individual contributions are clearly discernable. Funding amounts for multi-year research grants or contracts must be prorated on an annual basis. Graduate students' scholarships and awards must not be included in the funding from grants and contracts.
- All service activities should be recorded in appropriate sections of the performance report, including contributions to university committees, professional organizations, research granting agencies, editorial boards, major conference organizing committees, etc. Letters and other supporting documentation may be provided by the faculty member or sought by the Department Head or the Dean.

3.2 Merit Increment Recommendations

It is the responsibility of the Head of the Department to summarize and evaluate the contributions of each individual faculty member. An individual's assessment of overall performance is compared

with those of faculty members of similar rank and seniority. A numerical value for the merit increment is then recommended.

It should also be noted that merit increment recommendations are relative and depend on the total departmental allocation. As a result, the merit increment for a given level of performance may vary from one assessment period to another.

Where the first assessment of an academic staff member is in the intervening year, s/he will receive a default increment equivalent to the average increment provided to the Faculty per full time equivalent member by the General Promotions Committee. On any future report, this shall be identified as a default increment rather than an assessed value.

3.2.1 Guidelines for Merit Increment

The University's General Promotion's Committee (GPC) has determined that when the evaluation of a staff member's performance is satisfactory, that member shall be awarded an increment unit called the "Career Progress Adjustment" (CPA). Currently, CPA is 0.4 of a merit increment unit.

Faculty receiving an increment of 1.4 or above will normally be considered as having overall performance deemed "outstanding".

GPC's *Manual of Polices and Procedures for the [Annual] Assessment of Academic Staff (Increments and Promotions)* notes that any increment award above 0.4 units recognizes meritorious performance. The award of increments shall be interpreted in the context of the following:

Table I
Guidelines for Merit Increment

Increment Unit	Performance Assessment
0.0	Unsatisfactory
0.4	Satisfactory Career Progress (CPA)
Above 0.4	Meritorious

Because successive awards of 0.0 for Unsatisfactory Performance by GPC may lead to dismissal, Heads must apply the criteria for each applicable category with care**. If, in the absence of any extenuating circumstances, a faculty member's performance in any one of the areas is not found to be satisfactory, a recommendation of 0.0 for Unsatisfactory Performance shall be considered, after due consideration of the overall performance.** When making such a recommendation the Head/Director shall inform the faculty member in writing, as well as the Provost and Vice-President (Academic) before the meeting of the Faculty Promotions Committee. (APT 6.2.16).

Any Continuing, Contingent Term or Limited Term academic appointee who receives a zero increment for unsatisfactory performance shall be formally assessed the following year.

3.2.2 Role of the Department Head and the Departmental Merit Committee

It is the responsibility of the Head of the Department to summarize and evaluate the contributions of each individual faculty member in a written format, using the form titled *Schulich School of Engineering - Department Head's Assessment and Recommendation to FPC*. In the event of a faculty member being a member of a multi-disciplinary programme, the Head shall seek written input from the Coordinator of the programme. The Department Head will provide an opportunity to discuss this assessment with the faculty member prior to submitting the recommendation to the Faculty Promotions Committee (FPC).

For faculty members holding Initial Term, Contingent Term or Limited Term appointments, the Head of the Department, in years between merit assessments, will provide the same summary, without recommendation as to merit. All Initial Term, Contingent Term or Limited Term academic staff are required to meet with the Department Head in the intervening year to discuss their career progress. The staff member must sign the Head's summary to signify that they have read the comments from the Department Head. Staff may appeal the Head's summary to FPC, in accordance with the University's guidelines and procedures.

Each department within the Schulich School of Engineering is to establish a Departmental Merit Committee (DMC). DMC is advisory to, and chaired by, the Department Head. It should include at least two additional full-time faculty members. They shall be chosen by draw such that, in the long term, all full-time department members will participate in DMC. Student teaching evaluations and Academic Performance Reports will be made available to DMC.

The Department Head has the full responsibility for recommending the merit increment for each departmental faculty member. This recommendation is conveyed to the faculty member, DMC and FPC. The faculty member may appeal the Department Head's recommendation, in accordance with the University's guidelines and procedures.

3.2.3 Role of the Faculty Promotions Committee and the Dean

The Faculty Promotions Committee (FPC) is advisory to, and chaired by, the Dean. FPC evaluates the individual performance of faculty members of the School and a recommendation is made to the Dean. FPC makes every effort to ensure that inequities do not occur at the School level. On the basis of all information and advice available, the Dean makes a recommendation to the General Promotions Committee (GPC).

The performance of Heads, Associate Deans and similar positions who are in office at the time that the FPC meets or have held such positions during the period under review will be reviewed in the first instance by the GPC on recommendation from the Dean.

If the Dean modifies the recommendation of the Faculty Promotions Committee, the Dean will 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. The faculty member can appeal the Dean's recommendation to GPC under either of the following two circumstances:

1. The faculty member has appealed the Department Head's original recommendation; or,
2. The Department Head's recommendation was higher than the final merit increment recommended by the Dean.

More information is available on FPC, its membership and procedures in Appendix A: Faculty Promotions Committee and Its Procedures.

3.3 Leaves

A faculty member, who has spent a portion of the reporting period on research and scholarship leave, must include a report of his/her activity in the Academic Performance Report. This activity will be evaluated during the next regular performance review following their return, according to the proposed objectives of the approved leave.

Faculty members on leaves without pay are not eligible for merit increments for the period on leave without pay.

For more information on leaves and merit assessment and increment recommendations, please refer to the *Manual of Policies and Procedures for the [Annual] Assessment of Academic Staff (Salary Increments and Promotions)* (GPC Manual), in particular Section 7.

4 PROMOTION

Through promotion, the Schulich School of Engineering seeks to identify and reward individuals who serve as leaders, team players, and role models, and who strengthen the foundations upon which the School can build its future. A candidate's suitability for promotion is assessed by investigating the development and progression of his/her complete career, including periods of leave and/or absence.

When applying for promotion, faculty members are expected to address the expectations associated with teaching, research, and service, as described in Section 2 of this manual, keeping in mind the key characteristics as described in Section 1.2: technical competence, integrity, collegiality and teamwork, leadership, and international outlook. Students, departments, the School, the University, the profession, industry and the community, at local, regional, national and international levels, are all served well by leaders, team players, role models and mentors.

In order for a faculty member to be considered for promotion, certain achievements are anticipated. Table V, in Appendix D, provides typical career academic achievement guidelines for achievements in key activities. These achievements are not absolute but rather are guidelines and meant to demonstrate the School's commitment to standards of excellence. The individuals and committees involved in the assessment process must ensure that the quality and impact of the contributions are fully considered, and that quantity metrics do not play a dominant role in the process.

Some research disciplines and fields may have specific norms that define quality performance. For more information on specific norms, please refer to the sixth paragraph of Research Assessment, Section 2.3.

Diversity, in the balance of productivity in the three primary functions, is respected. There is an expectation that lower levels of contributions in one function will be balanced by heightened performance in one or both of the remaining functions. The promotion assessment process is flexible with a variety of ways in which faculty members can be recognized for pursuing and achieving excellence.

Applicants may request that individuals and committees involved in the promotion assessment process review specific publications to ascertain research quality.

Professional and industrial experience is an additional asset and is considered in the assessment for promotion.

4.1 Role of the Head of the Department and Departmental Promotions Committee

It is the responsibility of the Head of the Department to summarize and evaluate the performance of the applicant in a written format, and to provide a recommendation regarding the promotion to FPC. In the event of a faculty member being a member of a multi-disciplinary programme, the Head shall seek written input from the Coordinator of the programme. The Department Head will provide an opportunity to discuss this assessment with the faculty member prior to submitting the recommendation to the Faculty Promotions Committee (FPC).

Each department within the Schulich School of Engineering is encouraged to establish a Departmental Promotions Committee (DPC). In departments where a DPC has not yet been established, the decision to establish a DPC must be reviewed and voted on annually by the department and a recommendation is then made to the Department Head.

DPC is advisory to, and chaired by, the Department Head. It will include at least two additional tenured Professors, and should include both genders. They shall be chosen by draw such that, in the long term, all departmental tenured Professors will participate in DPC. The committee's recommendations will be made to the Head of the Department.

Student teaching evaluations and Academic Performance Reports will be made available to DPC.

4.2 Documentation

All applicants for promotion must submit an application including a cover letter (not exceeding 3 pages), curriculum vitae, dossier and his/her best publications to the Dean, with a copy to the Department Head (see Table II).

The following table indicates the documentation necessary when applying for promotion.

Table II

Documentation Required for Application for Promotion

Rank	Cover Letter	Curriculum Vitae	Dossier	Best Peer-reviewed Publications	Minimum No. of References (External to U of C)
Senior Instructor *	Yes	Yes	Yes	3	0
Associate Professor	Yes	Yes	Yes	5	0
Professor	Yes	Yes	Yes	5	3 **

* In this case, publications may be related to teaching and/or research scholarship.

** The candidate and the Head of the Department will each be asked to provide the Dean with a list of five suggested referees. The Department Head may consult with senior colleagues who are familiar with the candidate's field but not with the candidate. The Dean may request references from experts not listed by the candidate. No more than one of the external referees selected by the Dean can be drawn from the candidate's suggestions. The Dean will attempt to obtain at least three letters of reference. All letters received on time shall be considered. When the Head or equivalent is preparing a written recommendation in relation to the promotion of an individual to Professor, the Head or equivalent shall have access to the letters from external referees. The referees' comments are confidential and will not be provided to the candidate.

In addition to the evidence in the dossier, a candidate for promotion should also have evidence of a substantial promise of continued growth and productivity.

For information about documentation, please refer to Appendix C: Documentation.

4.3 Promotion to Senior Instructor

A candidate for promotion to Senior Instructor will have established a strong sustainable career path in teaching and exhibited initiative in the development and application of teaching methodology, and provided valuable service contributions.

Teaching (Sections 2.1 and 2.2): When the teaching function is assessed, evidence of effective performance in undergraduate and graduate programmes shall be considered. A candidate for promotion to Senior Instructor is normally expected to attain at least an overall rating of "very good" (6.0/7.0) on the *University of Calgary Universal Student Ratings of Instruction Instrument* (USRI). Please refer to Appendix G for information on USRI. Recognizing that student evaluation is not the only criterion for assessing teaching performance, those planning to apply for promotion are encouraged to seek out peer evaluations of their teaching.

Information on promotion to the rank of Senior Instructor from Instructor is provided in the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), in particular Sections 3.9 and 3.10, and all of Section 3.11.

Guidelines for promotion to the rank of Senior Instructor are available in Table V in Appendix D, Guidelines for Promotion, Appointment and Appointment With Tenure.

4.4 Promotion to Associate Professor

A candidate for promotion to Associate Professor will have established a strong sustainable career path in teaching and research, exhibited initiative and independence of thought in research activities, and provided valuable service contributions.

Teaching (Sections 2.1 and 2.2): When the teaching function is assessed, evidence of effective performance in undergraduate and graduate programmes shall be considered. A candidate for promotion to Associate Professor is normally expected to attain at least an overall rating of "good" (5.0/7.0) on the *University of Calgary Universal Student Ratings of Instruction Instrument* (USRI) over the two years leading up to the application for promotion. Please refer to Appendix G for information on USRI. Recognizing that student evaluation is not the only criterion for assessing teaching performance, those planning to apply for promotion are encouraged to seek out peer evaluations of their teaching.

Research (Section 2.3): The publication record, as specified in Table V in Appendix D, must include high quality, peer-reviewed publications. Competitive research grants are required as evidence of research achievements. Evidence of effective supervision of thesis-based graduate students must be provided.

Service (Section 2.4): A candidate's service contributions also play a role in considering promotion. The faculty member should be playing a significant role at the departmental level. Active participation in service to the School and to the profession is also required.

Candidates are expected to further describe their contributions in teaching, research, and service in the dossier accompanying their application.

The typical career achievement guidelines for promotion to Associate Professor are available in Table V in Appendix D.

Information on the required documentation for application for promotion to Associate Professor is available in Section 4.2, including Table II.

4.5 Promotion to Professor

Promotion to Professor is reserved for those individuals who, in the opinion of peers within the University and beyond, are excellent in their discipline. A high level of sustained achievement in teaching, research and service, and demonstrated leadership is required. There should be indications that this level of excellence will not only persist but rise.

In support of an application for promotion, the candidate is expected to provide evidence of superior teaching ability, of an outstanding national or international reputation for scholarship, and of leadership in service.

Teaching (Sections 2.1 and 2.2): Promotion to the rank of Professor requires documentary evidence of teaching effectiveness which can take several forms, two of which are student evaluation and the formal assessment by the Head of the Department. An average rating of "good" (5.0/7.0) to "very good" (6.0/7.0) on the *University of Calgary Universal Student Ratings of Instruction Instrument* (USRI) is normally expected. Please refer to Appendix G for information on USRI. Recognizing that student evaluation is not the only criterion for assessing teaching performance, those planning to apply for promotion are encouraged to seek out peer evaluations of their teaching. Evidence of effective graduate student supervision and completion at the doctoral level is normally required for promotion to Professor.

Research (Section 2.3): Promotion to the rank of Professor requires that the candidate will have made a significant impact in his/her discipline and established a scholarly and professional reputation at both the national and international levels. The impact of the research must be documented, as indicated in Section 2.3. Achievements must be fully documented and supported by three or more eminent referees external to the University (see Appendix C4).

Service (Section 2.4): A candidate should also have an established record of significant and sustained service. The faculty member is expected to have exhibited leadership in service to the department, School and the profession, and to have participated in service to the University and the community at local, national and international levels.

Normal career achievement guidelines for promotion to Professor are listed in Table VI in Appendix D.

5 INITIAL TERM RENEWAL AND APPOINTMENT WITH TENURE

Tenure is a long-term commitment on the part of both the School and the faculty member. Tenure is awarded only to faculty members who show, through evidence of performance and external evaluation by eminent referees, that they are, and have the potential to continue to be, valuable contributors in their academic activities.

In executing the activities associated with the three primary functions of teaching, research, and service, faculty members are expected to keep in mind the key characteristics as described in Section 1.2: technical competence, integrity, collegiality and teamwork, leadership, and international outlook.

Appointment with tenure is based both on career accomplishments and on the performance of the faculty member since being appointed to the Schulich School of Engineering at the University of Calgary. Achievements since the initial appointment are given stronger emphasis. Excellence in teaching, research and service performance, within the context of the diversity of pursuit, must have been sustained since the faculty member's appointment and should be indicative of the candidate's potential future track record.

Diversity, in the overall balance of teaching, research and service productivity, is respected. There is an expectation that lower levels of contributions in one function will be balanced by heightened performance in one or both of the remaining functions. The appointment with tenure assessment process is flexible with a variety of ways in which faculty members can be recognized for pursuing and achieving excellence. Nevertheless, satisfactory performance in all three areas is required.

Teaching (Sections 2.1 and 2.2): A candidate should normally have an overall rating of "good" (5.0/7.0) to "very good" (6.0/7.0) on *the University of Calgary Universal Student Ratings of Instruction* (USRI) for the two years leading up to the application for tenure. Please refer to Appendix G for information on USRI. It is recognized that student evaluation is not the only criterion for assessing teaching performance. Those planning to apply for tenure are encouraged to seek out peer evaluations of their teaching and to develop a teaching section of their dossier.

Research (Section 2.3): The faculty member will have established an independent research programme at the University of Calgary. Achievements must be demonstrated according to the rank of the faculty member. Research achievements must include high quality peer-reviewed publications, competitive research grants, evidence of effective training of highly qualified personnel, and collaboration with researchers in other universities and/or industry. The publication record must include high quality, peer-reviewed publications as outlined in Appendix D, Table V. Applicants may request the involved individuals and committees review specific publications to ascertain research quality.

For those faculty members in the Instructor ranks, there is no requirement for research activity but such activity is not discouraged. However, Instructors of all ranks are expected to undertake educational scholarship to improve teaching effectiveness and to maintain currency in the field.

Service (Section 2.4): A candidate for tenure should also be actively participating in service to the department and the profession, and should be participating at the School level and with the community.

In order for a faculty member to be considered for appointment with tenure, certain achievements are anticipated. Table VI in Appendix D provides typical academic achievement guidelines for achievements in key activities. These are not absolute, but are average annual achievements in the ranks held since appointment that the applicant should have met since the beginning of his/her Initial Term appointment. These achievements are guidelines and meant to demonstrate the individual's overall capacity for quality and productivity, as well as the School's commitment to standards of excellence.

Renewal of Initial Term is based both on career accomplishments and on the performance of the faculty member since being appointed to the Schulich School of Engineering at the University of Calgary. Achievements since the initial appointment are given stronger emphasis. The candidate should exhibit identifiable development in teaching, research and service performance, within the context of the diversity of pursuit, since the faculty member's appointment and should be indicative of the candidate's potential future track record.

5.1 Documentation

Information on the required documentation for application for appointment with tenure and renewal of Initial Term is available in Table III.

Table III
Documentation Required For Application for Appointment with Tenure

	Application Form	Curriculum Vitae	Dossier	Best Peer-reviewed Publications	Minimum No. of References
Tenure	Yes	Yes	Yes	5	3
Renewal of Initial Term	Yes	Yes	Yes	3	0

For more information about documentation, refer to Appendix C: Documentation.

5.2 Role of the Head of the Department and Academic Appointment Review Committee

The Head of the Department will seek advice on tenure applications and applications for renewal of initial term from the Departmental Promotions Committee (DPC), if applicable. All tenured staff within the department must be given an opportunity to give input on each tenure application. In the event of a faculty member being a member of a multi-disciplinary programme, the Head shall seek written input from the Coordinator of the programme. The individuals and committees involved in the assessment process must ensure that the quality and impact of the contributions are carefully considered, and that quantity metrics do not play a dominant role in the assessment process.

For appointment with tenure, the Academic Appointment Review Committee (AARC) shall obtain signed, written advice from referees within the discipline. The applicant and the Department Head will each provide the Dean with a list of five references. These lists shall contain names from both inside and outside the University. The Dean will select at least two referees from the applicant's list and at least two referees from the Head's list. The Dean is free to add to the list of references. At least three letters of reference must be on file prior to the meeting of AARC. The majority of these letters must be from referees external to the University, except for Tenure applications within the Instructor ranks. The referees' comments are confidential and will not be provided to the candidate.

More information is available on AARC in Appendix E: Academic Appointment Review Committee and Its Procedures.

5.3 Leaves

If a leave causes a delay in the application for tenure, there are administrative mechanisms in place that can prolong the Initial Term appointment or defer the consideration for tenure.

For more information on leaves and appointment with tenure, please refer to the *Manual of Policies and Procedures for the [Annual] Assessment of Academic Staff (Salary Increments and Promotions)* (GPC Manual), Section 7, and to the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), in particular Sections 5.4.7 through 5.4.12.

6 VACANCIES AND NEW APPOINTMENTS

A position vacancy is identified based on departmental and School plans and, when applicable, the plans of a recognized multi-disciplinary programme. For each vacancy, an Academic Selection Committee will be established. The Head of the Department is normally the designated chair of the committee. A minimum of three departmental faculty members are elected by the department to serve on the committee. The Dean appoints a faculty member external to the department. The Department Head appoints one faculty member external to the Schulich School of Engineering. In the case of an appointment associated with a multi-disciplinary group, at least half the members of the Academic Selection Committee must represent that group whenever possible. The Department Head may appoint an additional member external to the University, with the approval of the department, for the purposes of ensuring external stakeholder representation.

Conflicts of interest must be avoided. Committee members are required to disclose all possible conflicts of interest, actual or perceived. If the Head of the Department or a committee member believes that he/she may have a conflict of interest concerning the vacancy, an applicant, or for any other reason, this member is excused and is expected to withdraw from serving on the committee. Upon request, the Dean will make the final decision. A new member will then be appointed by the Head of the Department.

The Academic Selection Committee approves an advertisement for the vacant position, obtains the Dean's approval, and establishes a timetable for filling the vacancy.

All efforts must be made to encourage candidates from both genders to apply for the position. All applications are reviewed, and a list is created of applicants who warrant further investigation, including both genders whenever possible. At least three of the top candidates for the position will normally be interviewed.

The hiring process should ensure that candidates possess technical competency and teaching ability. Department and faculty members should be given an opportunity to meet with the candidates, and to provide written feedback to the Academic Selection Committee.

The Academic Selection Committee is advisory to the Chair. The Chair will report both the committee's recommendation and his/her own (if different) recommendation to the Dean, who makes the final recommendation to the President or his/her designate.

The Extraordinary Procedures for Expedited Spousal Hiring in Section 4.8 of the *APT Manual* shall be considered the equivalent of the formal Academic Selection process for all purposes.

More information on the Academic Selection Committee and its procedures is available in Appendix F: Academic Selection Committee and Its Procedures.

6.1 New Appointments

In order to maintain the School's commitment to excellence in education, research and service, new appointments to Associate Professor and to Professor must meet or surpass the standards set for the promotion of continuing faculty appointees. Equivalent experience in government or industry will also be considered. For career academic achievement guidelines for new appointments, please refer to Table VI, Appendix D.

The Canadian Engineering Accreditation Board requires that a significant proportion of the School's faculty members be registered professional engineers; therefore, except in special cases, appointees should be registered professional engineers in Alberta, or have the competence and willingness to be applicants for registration.

6.2 Assistant Professor

Appointment to the rank of Assistant Professor normally requires evidence of successful teaching ability and appropriate research activity (beyond that involved in the completion of academic training), or evidence of professional experience. An earned doctorate is normally required.

6.3 Associate Professor

A new appointment to the rank of Associate Professor requires evidence of teaching ability, recognized research achievements, and a good record of service. An earned doctorate is normally required. Professional and industrial experience is also considered in the evaluation. The criteria outlined for promotion to Associate Professor must be met. More information is available on the guidelines for promotion to Associate Professor in Section 4.4 and Table V, Appendix D.

6.4 Professor

A new appointment to the rank of Professor is based on a high level of sustained achievement in research and service, and on demonstrated teaching and leadership capabilities. An earned doctorate is normally required. Professional and industrial experience is also considered in the evaluation. The criteria outlined for promotion to Professor must be met. More information is available on the guidelines for promotion to Professor in Section 4.5 and Table V, Appendix D.

6.5 All Instructor Ranks

Applicants for an appointment at the Instructor Ranks require evidence of superior teaching ability and professional experience and/or professional/educational qualifications appropriate to the intended duties of the position. Information on the requirements for appointment to the Instructor ranks is available in the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), in particular Sections 3.9, 3.10 and 3.11.

APPENDIX A FACULTY PROMOTIONS COMMITTEE AND ITS PROCEDURES

The Faculty Promotion Committee shall review the regular performance assessments of all members of the School, except Department Heads, Director of Students, Associate Deans, and the Dean.

The Faculty Promotions Committee is also responsible for reviewing candidates' applications for promotion to Senior Instructor, Associate Professor and Professor.

The Faculty Promotions Committee is advisory to the Dean and shall be composed of the following voting members:

- The Dean (Chair, voting only to break a tie);
- All Department Heads in the School;
- Three academic staff members holding Continuing, Contingent Term, or Limited Term appointment elected by Engineering Faculty Council*; and,
- One undergraduate student representative appointed by the Engineering Students' Society (ESS).

And the following non-voting members:

- One faculty member holding Continuing, Contingent Term, or Limited Term appointment, designated by the Dean (non-voting); and,
- One member appointed by The University of Calgary Faculty Association (TUCFA).

If the voting members of the Faculty Promotions Committee, as constituted above, do not represent both genders, the Dean will add one more voting member from the continuing faculty members in consultation with the Provost and Vice President, Academic (VPA) and the Faculty Association.

* The School Striking Committee shall propose a slate of five academic staff members holding Continuing, Contingent Term, or Limited Term appointment to the Engineering Faculty Council. The Engineering Faculty Council shall elect a slate of four, with the top three to serve on FPC and fourth to serve as an alternate member.

More information about the Faculty Promotions Committee and its procedures is available in the *Manual of Policies and Procedures for the [Annual] Assessment of Academic Staff (Salary Increments and Promotions)* (GPC Manual), Section 3.0 and in the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual), Section 6.4.

These procedures are available online at
http://www.ucalgary.ca/provost/faculty/academic_agreements

APPENDIX B SCHOOL RESEARCH AND TEACHING STATISTICS

In Table IV, the rank of Professor has been divided into two categories: those with less than eight years experience as Professors, and those eight years or more of experience as Professor. The latter are considered to be Senior Professors and have higher levels of expectations placed on them by the School. This table is based on faculty statistics and will be updated biennially.

Table IV
2006 / 2007 Annual Faculty Statistics

	Assistant Professor		Associate Professor		Professor		Senior Professor	
Numbers =	**36**		**41**		**32**		**26**	
Activities	**Mean**	**Med.**	**Mean**	**Med.**	**Mean**	**Med.**	**Mean**	**Med.**
Peer-Reviewed Journal Papers	1.9	1.3	2.6	2.7	3.9	3.4	3.2	3.0
Full Conference Proceedings Papers and Book Chapters	2.2	1.3	3.5	2.0	3.7	2.3	4.1	2.0
Other Publications (see Section 2.3.1.2)	1.7	0.7	3.2	0.7	3.3	1.3	4.1	0.7
NSERC Individual Discovery Grants ($ 000s)	21	20	23	23	26	26	34	36
Other Research Funding ($ 000s)	133	66	164	89	471	227	464	77
MEng(C)/ MEng(T)+MSc Students Supervised	3.2	2.0	4.8	3.4	5.6	4.2	2.6	2.0
MEng(C)/ MEng(T)+MSc Students Graduated	0.7	0.2	1.9	0.7	1.8	0.5	0.5	0.3
PhD Students Supervised	0.5	0.3	2.1	1.8	2.6	2.7	2.6	2.0
PhD Students Graduated	0.1	0.0	0.3	0.0	0.5	0.7	0.7	0.7
Teaching Load (u/g courses)	1.8	2.0	1.6	1.7	1.2	1.3	1.3	1.3
USRI Question 1 (u/g courses)	5.3	5.5	5.6	5.5	5.6	5.5	4.8	4.7
USRI Questions 2-12 (u/g courses)	5.6	5.7	5.6	5.8	5.6	5.7	5.3	5.3
Teaching Load (p/g courses)	1.0	1.3	1.0	0.7	1.3	1.3	0.9	0.7

APPENDIX C DOCUMENTATION

All applicants for promotion and appointment with tenure must submit an application, a curriculum vitae, a dossier and his/her best publications. This appendix outlines:

- the Schulich School of Engineering Standardized Format for Curriculum Vitae
- guidelines for preparation of a dossier

C.1 Curriculum Vitae

A faculty member's curriculum vitae is a record of his/her career accomplishments. It is an important element of documentation for the tenure and promotion processes. In order to ease the burden on committees, and the sheer number of applications they must deal with each period, the School has adopted a standardized format for the curriculum vitae. The Schulich School of Engineering's Standardized Format for Curriculum Vitae is presented below in Appendix C.1.1. It is the faculty member's responsibility to ensure that their C.V. conforms to this Appendix and includes all relevant information for assessment.

C.1.1 Schulich School of Engineering Standardized Format for Curriculum Vitae

I. BIOGRAPHICAL DATA

Name
Date of Birth (optional)
Present Position
Full Address
E-mail

II. PROFESSIONAL RECORD

A. Academic Record

i) Undergraduate
Degree, date completed
Specialty
Institution/City/Country

ii) Graduate
Degrees, dates completed
Specialty
Institution/City/Country

iii) Post-doctoral or other special training
Title/degree, dates
Specialty
Institution/City/Country

B. Academic and Other Appointments (current first)

(Give position, institution, time)

C. Administrative Responsibilities

i) Department
ii) School
iii) University

D. Professional Certification and Memberships in Learned Societies

(Specific referral to P.Eng. status is required)

E. Awards, Distinctions and Fellowships

III. EDUCATIONAL ACTIVITIES

A. Instruction

(Give course name/number, period, responsibilities (e.g., lecture, lab, tutorial, etc.), and include teaching evaluation information (USRI data for each course))

Undergraduate Level
Graduate Level
Continuing Education
Teaching at foreign institutions
International schools/workshops
Invited seminars/lectures

B. Graduate and Undergraduate Supervision

(List names, students' departments, years of supervision, degree, year of actual or expected completion. Clearly indicate graduate students who are co-supervised)

Current graduate students
List of past-supervised graduate students
Examiner/supervision committee
External supervision
External examiner
Supervision of visiting/exchange students
Supervision of senior undergraduate students (e.g., group projects, summer students, etc.)

C. Postdoctoral Fellow Trainees

(*Give name, topic, period, source(s) of funds*)

IV. SCHOLARLY ACTIVITIES

A. Research Support
(Include funding agency, dates, prorated amount allocated to you, project title, investigators. Specify whether you are principal or co-investigator)

Grants
Contracts

B. Invited Keynote Addresses

C. Publications

Peer-reviewed journal papers (author list, published, in press, submitted)
Peer-reviewed full conference papers
Other peer-reviewed conference papers (e.g., reviewed abstracts)
Books
Chapters
Other non-reviewed publications
Abstracts
Communications
Technical reports and other publications

D. Technology Transfer

Consulting
Licensing
Patent (approved, filed)

V. SERVICE ACTIVITIES

A. University Service
(*Give a brief description of your role in each activity*)

Service (committees, panels, boards)
School Service
Departmental Service

B. Professional Service
(*Give a brief description of your role in each activity*)

National/international committees/societies
Grant review panels
Board memberships
Editorships
Journal Reviews
Conference organization
Other

C. Public Service
(*List activities and give a brief description of your roles*)

VI. OTHER ACTIVITES (Optional)
(List hobbies and interests)

C.2 Dossier

A dossier exhibits the candidate's achievements but is not expected to duplicate a faculty member's curriculum vitae. The dossier is a means of providing documentation as evidence of an individual's performance and accomplishments and is an excellent place to emphasize the impact and relevance of a faculty member's research contributions. Recognizing that candidates for appointment with tenure, and promotion, must contribute in the three main areas of Teaching, Research, and Service, it is recommended that the dossier is organized to emphasize performance and accomplishments in each of these areas.

Candidates must also recognize that dossier should NOT be a collection of every teaching, research and service document that they have accumulated over the years. It is important to be succinct in describing one's activities, and the sections are meant to provide brief supplemental material to aid the committees in making their decisions. For these reasons **it is strongly recommended that the entire dossier not fill more than a standard 1'' binder.**

The following subsections provide guidelines as to what material to include in dossier sections for each of the three main theme areas.

C.2.1 Teaching

Various one-time and periodic processes, which affect a faculty member's career, involve consideration of an individual's teaching effectiveness. The issue arises as to the method by which a faculty member establishes their teaching performance and effectiveness. It is important to note that evaluations by students are by themselves insufficient documentation, not just in promotion and tenure processes, but in the assessment process as well. This is clearly stated in the APT Manual in part:

3.2.3 *"Although the evaluation of teaching may not be based solely on evaluations by students, such evaluations are one fact 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."*

A **teaching dossier** is a summary of a faculty member's major teaching accomplishments and strengths. It is partly historical (e.g. courses taught, students supervised), partly promotional (e.g. for the tenure process or for nomination for a teaching award), partly evaluative (providing information for assessment), and partly reflective (e.g. self evaluation of successes and failures).

There is no definitive format which must be followed by all individuals, but the School suggests that the following ideas be used to facilitate its use in evaluative processes:[1]

- **Teaching Philosophy**: This provides the faculty member with a forum to describe their beliefs, ethics, style and values as they pertain to the teaching process. Questions one might consider addressing include:
  - What are my commitments to teaching?
  - How do students best learn in my discipline?
  - By what mechanisms do I attempt to facilitate the learning process?
  - How do my teaching activities contribute to the Department/Program discipline goals?

- **Teaching Contributions**: This section is the primary history section of the dossier. It should include your complete teaching record. Examples of categories to document:
  - Courses taught
  - Undergraduate Projects Supervised
  - Graduate Theses Supervised – possibly including their thesis title, and an abstract of their thesis

- **Courses Developed/Modified:** It is important to detail what are commonly the extensive efforts necessary to develop and or modify courses. This primarily should be in prose with reference to relevant syllabi included in the last section.

- **Description of Efforts to Improve Teaching**: In general, teaching effectiveness is a growth process and faculty members continually change their approach to improve their effectiveness and in some cases perception of quality on the part of students. Documentation of peer evaluation and a listing of teaching courses taken should be provided. As well efforts toward improving the learning experience beyond those courses directly responsible for, to include curricula evolution both within and beyond the Department/Program, should be highlighted.

- **Recognition of Teaching Activities**: Evidence of acknowledgement of efforts such as nomination and/or being awarded teaching awards, letters of support from peers, unsolicited letters from students all provide confirmation of the faculty member's effectiveness in the area of teaching.

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[1] For further suggestions and information, references such as below should be consulted:

Shore, B., S. Foster, C. Knapper, G. Nadeau, N. Neill, and V. Sim. The CAUT Guide to the Teaching Dossier: Its Preparation and Use, Canadian Association of University Teachers, 1986.

O'Neil, C. and A. Wright. Recording Teaching Accomplishment: A Dalhousie Guide to the Teaching Dossier, Office of Instructional Development and Technology, Dalhousie University, 1993.

Guelph	http://www.tss.uoguelph.ca/resources/idres/packagetd.html
University of Alberta	http://www.ualberta.ca/UTS/Services/teachdossier.html
University of Victoria	http://www.ltc.uvic.ca/servicesprograms/teaching_dossier_kit.php
Waterloo	http://www.trace.uwaterloo.ca/teaching_resources/teaching_tips/tips_pd/creating_a_teaching_dossier.pdf

- **Other Items**: These provide the faculty member with the opportunity to document both quantitatively (e.g. via USRI's) and qualitatively teaching efforts. Suggested items to include are:
  - Selected Course Outlines
  - Examples of Assignments, Labs, and/or Exams
  - Student Ratings of Instruction Summaries (formative and summative)

C.2.2 Research

The purpose of this section of a dossier is to **supplement** information that is already evident in the candidate's curriculum vitae. It should be used to highlight particular areas of evidence, and provide further explanation about e.g. research programs, grants, journal and conference submissions, extenuating circumstances, etc. A candidate should provide evidence of a substantial promise of continued growth and productivity.

It is recommended that the following areas be highlighted in this part of the dossier:

- **Summary of Grants secured**: Indicate the funding source, the amount and duration of the award, a summary of what the award was for, and the role you will play if there were multiple applicants.

- **Significance and Impact of Five Peer Reviewed Publications:** This section allows the candidate to discuss the impact that five of their best publications have had on the research (or other appropriate) community. The significance of the work should be outlined, as well as its fit into your research program and the research area in general. The particular journal or publication, and its prominence in the field, could be discussed. Citations arising from the publication could be listed as evidence of impact.

- **List of Publications:** When assembling a publication list, it is essential that each publication be fully and properly documented. The names of the authors should be listed in the same order as those in the original publication. The title, volume and year of the journal or conference proceedings, and the starting and ending page numbers of the publication are also required information. The format described in the *University of Calgary Academic Performance Report* (see: Academic Performance Report available through myUofC portal) shall be followed for reporting publications. With collaborative and/or multi-disciplinary research, individual contributions must be clearly discernible and documented.

C.2.3 Service

This section of the dossier should be used to summarize the service activities of the candidate, and highlight particular achievements. It is suggested that the following headings are used:

- **University Service:** This could include committees that you have been active on; initiatives that you have been involved with (e.g. WISE), retreats that you have participated in, etc.

- **Technical Service:** This relates to involvement in the particular scholarly area in which you are involved. This could include committees, acting as a reviewer for grants and publications, conference organization, conference chair, membership in learned societies, etc.

- **Community Service:** The School recognizes that many faculty are involved in various volunteer activities in the community that are not directly related to engineering, and recognizes that this is a valuable contribution to the society as a whole. Activities to highlight in this area could be e.g. coaching, serving on community boards, helping organize benefit concerts, etc.

C.3 Letters of Reference

Letters of reference are usually only required in applications for promotion to the rank of Professor, or appointment with tenure, and typically concern an individual's research performance, although feedback in teaching and service are often included. Lists of referees are compiled by a faculty member and by the Head of the Department independently. These individuals are familiar with the candidate's field of research but not necessarily with the candidate. Referees may be from Canadian and international academic institutions or, if appropriate, from government or industry. The referees should not have collaborated in research with the candidate in the previous six years and should not be former research supervisors of the individual.

The Dean will ask referees to provide letters of reference. The Dean may request references from experts not listed by the candidate. The external referees are requested to provide confidential assessments of the candidate's scholarly and professional reputation.

APPENDIX D GUIDELINES FOR PROMOTION, APPOINTMENT AND FOR APPOINTMENT WITH TENURE

Tables V and VI provide typical career achievements expected from faculty members who apply for promotion and appointment. The achievements in the tables are not absolute but rather are guidelines. Achieving all criteria does not guarantee promotion or appointment, neither does missing certain criteria automatically mean that promotion and appointment will not be granted. It must be emphasized that both reviewers and applicants must regard these tables as guidelines only.

Table V provides typical career academic achievement guidelines for promotion and appointment.

Table VI provides typical academic achievement guidelines for appointment with tenure. These are annual achievements that have accrued since the Initial Term appointment and are not absolute.

Table V
Typical Career Academic Achievement Guidelines for Promotion and Appointment

Academic Activity	Assistant Professor	Associate Professor	Professor
Student Ratings on *University of Calgary Universal Student Ratings of Instruction*	N/A	Good (5)	Good to Very Good (5.5)
MSc/MEng Students Supervised	N/A	4	7
MSc/MEng Students Graduated (Thesis-based)	N/A	2	4
PhD Students Supervised	N/A	1	4
PhD Students Graduated	N/A	0	2
Peer-reviewed Journal Papers (see Section 2.3.1)	3	12	20
Conference Proceedings Papers/Abstracts	3	12	20
Competitive Research Grants (e.g. NSERC or comparable)	Demonstrate Potential	Yes	Yes
Impact of Research	N/A	National with International Potential	National and International
P. Eng.	Demonstrate Potential and Intent	Highly Desired*	Normally Expected
University Service	Demonstrate Potential	Participation Some Leadership*	Demonstrated Leadership
Service to the Profession and to Industry	Demonstrate Potential	Desired*	Highly Desired
Service to the Community	Demonstrate Potential	Desired*	Highly Desired

* These guidelines also apply for promotion to the Senior Instructor rank.

Table VI
Typical Academic Achievement Guidelines For Appointment With Tenure
(Average Annual Achievements since the Initial Term Appointment)

Academic Activity	Assistant Professor	Associate Professor	Professor
Student Ratings on *University of Calgary Universal Student Ratings of Instruction*	Good	Good to Very Good (5.5)	Good to Very Good (5.5)
MSc/MEng Students Supervised	1.5	2	3
MSc/MEng Students Graduated (Thesis-based)	0.5	1	1.5
PhD Students Supervised	N/A	1	2
Peer-reviewed Journal Papers (see Section 2.3.1)	1.5	2.5	3
Conference Proceedings Papers/Abstracts	1.5	2.5	4
Competitive Research Grants (e.g. NSERC or comparable)	Yes	Yes	Yes
Impact of Research	National with International Potential	National with International Potential	National and International
P. Eng.	Desired	Highly Desired*	Normally Expected
University Service	Participation	Participation Some Leadership*	Demonstrated Leadership
Service to the Profession and to Industry	Desired	Desired*	Highly Desired
Service to the Community	Desired	Desired*	Highly Desired

***** These guidelines also apply for appointment with tenure for Instructors.

APPENDIX E ACADEMIC APPOINTMENT REVIEW COMMITTEE AND ITS PROCEDURES

- An Academic Appointment Review Committee (AARC), advisory to and chaired by the Dean, shall review and give recommendations on applications for:

1. Renewal of Initial Term Appointments, and
2. Appointments with Tenure.

The membership of the AARC shall consist of

(i) the following voting members:

- The Dean (Chair) or delegate who must not be the person who performed the functions of the Head set out in Section 5.6 of the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual).
- Three members selected by the Dean out of a slate of four tenured academic appointees in the Schulich School of Engineering. The Faculty Striking Committee shall propose a slate to the Engineering Faculty Council, which shall elect the slate every year.
- One member, who is a tenured academic appointee from outside the Schulich School of Engineering, appointed by the Dean.
- Up to two additional tenured academic appointees in the Schulich School of Engineering, who are appointed by the Dean. When appointing these individuals, the Dean will ensure that both genders are represented on the AARC.

(ii) the following non-voting members:

- The Department Head or the equivalent who performed the functions of the Head as set out in Section 5.6 of the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual).
- One member appointed by The University of Calgary Faculty Association (TUCFA).
- One member appointed by the Engineering Student Society (ESS).
- One full-time graduate student appointed by the Dean.

For the membership of the AARC for a Head, please refer to Clause 5.7.4.3 of the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual).

For more information on Academic Appointment Review Committees and their procedures, please refer to the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual).

APPENDIX F ACADEMIC SELECTION COMMITTEE AND ITS PROCEDURES

Any academic vacancy will be defined normally in terms of the departmental plan and in consultation with the affected discipline or multi-disciplinary group. The intent to fill a vacancy in a particular area should, with prior notification, be discussed at a meeting of the department.

Academic Selection Committees (ASC), advisory to the Dean, will normally be established for vacancies, regardless of the type or duration of the academic appointment and the source of funding.

The ASC shall consist of the following voting members:

- The Head of the Department in which the vacancy exists, as the Dean's delegate, to chair the committee;
- A minimum of three additional departmental academic appointees elected at a meeting of the department;
- One academic appointee from within the Schulich School of Engineering but outside the department, appointed by the Dean; and
- One academic appointee from outside the Schulich School of Engineering, appointed by the Head of the Department.
- In special cases, a member external to the University with the approval of the Department.

In addition, if the vacancy is related to an established multi-disciplinary centre in the Schulich School of Engineering, it will be represented by:

- Two academic appointees, nominated by the centre’s Director or equivalent, in coordination with the Head. These appointees are not normally additional to those listed above.

Both genders shall be represented on the ASC. If necessary, the Dean will nominate another academic appointee, for ensuring the representation of both genders, as a voting member of the ASC.

The quorum for all meetings of the ASC shall be four. Of those present, the majority must be academic appointees in the Schulich School of Engineering.

The ASC shall approve an advertisement for the vacancy, seek the Dean’s approval, and establish a timetable for filling the vacancy. It shall also establish the steps that will be taken to seek out fully qualified women, as well as other groups designated under Employment Equity policies, as applicants for the position.

The ASC may designate the Chair and the three departmental appointees to review all applications received in order to arrive at an initial list of applicants who should be pursued further. This list will be submitted to the ASC for approval. A complete list of all applications shall also be provided to

all members of the ASC. Once the ASC approves the initial list, at least three confidential written references will be requested for each applicant. In addition, each applicant on the initial list shall be required to supply an official confirmation of all academic qualifications, particularly the doctoral degree.

A short list, normally of at least three candidates, will be drawn up and the applicants on this list will be invited for interviews. All members of the ASC will fully participate in the interview process. All full-time faculty members in the Department (and, if applicable, in the multi-disciplinary centre) will be afforded an opportunity to meet the candidates as part of the interview process and will be encouraged to submit written input to the Chair of ASC.

Following the interviews, the ASC will meet to discuss all candidates. Each member of the ASC will rank the interviewed candidates. The rankings will be compiled and a list of the combined rankings will be prepared by the ASC. In the event none of interviewed candidates is considered to be acceptable, the ASC may not recommend any candidate. If the ASC is chaired by someone other than the Department Head, the Chair will submit the list of ranked candidates to the Department Head. The Department Head will submit the list of ranked candidates to the Dean. If the vacancy is related to an established multi-disciplinary centre in the Schulich School of Engineering, the Department Head will consult with the centre's Director prior to submitting his/her recommendation to the Dean. If the recommendation of the Department Head is different from that of the ASC (or centre's Director), he/she shall provide the Dean with both sets of rankings and the reason(s) for the different recommendations.

The Dean shall make the final recommendation to the Provost and Vice-President (Academic) or his/her designate. The Dean may choose not to accept the recommendation of the Department Head and/or the ASC; however, the Dean shall communicate the reason(s) for the different recommendation to the Provost and Vice-President (Academic).

The records of all stages of the recruitment and selection process for each academic appointment shall be maintained in the Department for two years.

The procedures, as described above, will generally be followed for all appointments.

More information on academic vacancies and Academic Selection Procedures is available in Section 4.0 of the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* (APT Manual).

APPENDIX G UNIVERSAL STUDENT RATINGS OF INSTRUCTION

The Universal Student Ratings of Instruction (USRI) is one of the criteria used to evaluate teaching efficiency. It must be noted that it is not the only parameter considered in assessing teaching performance. The integer numerical values correspond to the rating, e.g. 5.0 = Good, 5.4 to 5.9 = Good to Very Good.

Table VII
The Universal Student Ratings of Instruction's
Numerical Values for the Overall Quality of Instruction and their Corresponding Ratings

Numerical Value	Rating
1	Unacceptable
2	Very Poor
3	Poor
4	Satisfactory
5	Good
6	Very Good
7	Excellent