

FACULTY OF SOCIAL SCIENCES

POLICY GUIDELINES RELATIVE TO APPOINTMENT, INCREMENT, PROMOTION AND TENURE

Approved by Faculty Council: October 6, 2005

Approved by the Provost: December 9, 2005

The following document places the Faculty of Social Sciences policy guidelines regarding appointment, promotion, tenure and annual assessment for increments within the context of the general guidelines in the University as a whole. These have been outlined in the revised *APT Manual*. The *GPC Manual* has been updated to conform with the revised *APT Manual*. Both of these documents take precedence over the faculty guidelines provided in this document. For further information regarding contractual arrangements governing relations between the Board and the Faculty Association, faculty members should consult the *Collective Agreement* dated July 1, 2004. From time to time the *APT Manual* and *GPC Manual* will undergo revisions which will bear on our faculty's guidelines set forth below. Faculty members are asked to familiarize themselves with all of these University-wide documents, as they materially affect the particular issues addressed herein.

PLEASE REFER TO RELEVANT SECTIONS OF:

**PROCEDURES PERTAINING TO APPOINTMENT,
PROMOTION AND TENURE OF ACADEMIC STAFF**

as established and approved by

**THE GENERAL FACULTIES COUNCIL
(March 17, 2005)**

and

**THE BOARD OF GOVERNORS
(April 22, 2005)**

Also available in Department Offices

FACULTY GUIDELINES FOR MERIT ASSESSMENT

General As noted in Section 3.5.4 (*APT Manual*), faculties are required to establish criteria for the assessment of teaching, research, and service, i.e., developing a profile of annual performance. University-wide guidelines refer to these criteria, as noted in Sections 3.1, 3.2, 3.3, 3.4 (*APT Manual*).

Faculty expectations with reference to the three criteria specified will accord with University policy in general. But the blend of attributes or weighting of these performance criteria in the *APT Manual* (3.6, 3.7, 3.8) clearly shows the greater weight given to teaching performance at the Assistant Professor level, with evidence of scholarly attainment. Clearly also, service as well as scholarly expectations rise as one proceeds through the ranks of Associate, until national or international reputation become relatively more important in the entire profile of the individual presented for promotion to Full Professor. Thus, while it can be said that the Faculty of Social Sciences determines merit to be drawn from among the three elements of research, teaching and service, the particular weighting and expectations vary in these three areas through the ranks.

The Faculty of Social Sciences expects that its faculty members will pursue their programs of research either individually or in collaboration with other scholars, contribute to the teaching and training of undergraduate and graduate students, and participate through service in the administration of the university. Nevertheless, the Faculty of Social Sciences acknowledges that there will be some who diverge from these expectations, and will provide such faculty members with the opportunity to identify their unique career circumstances and will ensure that these career patterns will in turn be accounted for in merit increment, promotion and tenure decisions. It is however incumbent upon faculty members to communicate such circumstances to their respective department heads and to the dean well in advance of merit, tenure and promotion discussions. Alternate career paths cannot be claimed retroactively. Any agreement reached between a faculty member, her/his department head, and the dean regarding a different career path will specify how his/her responsibilities differ from other faculty members within the department/faculty.

Consistent with University of Calgary and Faculty of Social Sciences priorities, scholarship, teaching and service which contribute to internationalization shall be a recognized factor in faculty performance evaluation.

The area in which the determination of their relative weight becomes particularly crucial is in the determination of what constitutes “unsatisfactory” performance. FPC wishes to state that the recommendation of a “zero” award indicates that there has been a clear deficiency noted in one or more of the criteria of scholarship, teaching and service, bearing in mind the expectations for the career position and rank of the faculty member. These expectations will be further elaborated on below, but it is important to note general expectations in this preamble.

Given these general objectives, the following sections A through C are the Faculty's expectations regarding research, teaching and service as originally set forth in the document titled “Faculty of Social Sciences Policy Statement on Matters Relating to Appointment, Increment, Promotion and Tenure Decisions” (1982-09-01) and revised thereafter.

A. RELATIVE IMPORTANCE OF RESEARCH, TEACHING AND SERVICE FOR DECISIONS ON APPOINTMENT, PROMOTION AND TENURE

- (1) Appointments -- since the vast majority of new appointments are made at the Assistant Professor level, the Faculty of Social Sciences will consider teaching and research potential equally in making the appointment. For re-appointments, either for initial term or limited term, research and teaching again will be more heavily weighted. And, in the case of the Instructor category, primary emphasis will be based upon teaching performance.

Consistent with university policy and practice initial appointments, except in the case of senior individuals already holding tenure at another institution, are not normally made with tenure. Appointments in the Faculty of Social Sciences to rank of Instructor normally require the doctoral degree (APT 3.9).

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

The academic staff selection process (*APT Manual 4.1, 4.2 and 4.3*) shall be consistent with general University policies and the required academic staff selection process shall be structured as below:

1. Consultation with Department members in the definition of vacancies.
2. Written references for all qualified candidates are solicited by the Department and specific assessments prepared by referees shall be held confidential to Committees and Department members directly participating in selection procedures.
3. A Selection Committee shall be formed and will consist of the Dean/or designate, normally the relevant Head, plus two academic appointees from the relevant Department, one other Faculty of Social Sciences appointee and one external to the Faculty. The representative external to the Faculty shall have the same rights and responsibilities as other members of the Committee. They shall have particular responsibility to ensure that proper procedures are followed. All members of the committee shall hold continuing academic appointments. Both genders shall be included in the committee.
4. The Department shall ensure that the names and curriculum vitae of all qualified candidates, including those recommended for the shortlist, are brought to the attention to the Selection Committee prior to any invitations being extended to candidates. Invitations to candidates may be made only by the Chair of the Selection Committee on the recommendation of the Committee. The hiring process shall consist of public presentations and interviews with individual department members. Informed student opinion may be solicited.
5. The Selection Committee members shall attend as many candidate presentations as possible and review files prior to an appointment meeting.

6. Prior to making a final recommendation on the candidates, the Chair of the Selection Committee shall provide an opportunity for the department to submit feedback in writing to the Selection Committee.
7. The Selection Committee will make a recommendation to the Dean, and may also choose to recommend no candidate.

- (2) Promotion -- for promotion from Assistant to Associate Professor, we rely primarily on teaching effectiveness and scholarship, and to a lesser, but not unimportant extent, on service. For purposes of the Senior Instructor's rank primary emphasis will be upon teaching effectiveness at all levels.

For promotion from Associate to Full Professor, we place the greatest reliance on scholarship, subject to the condition that teaching effectiveness, including graduate supervision, has been demonstrated on a continuing basis. Service is not weighted as heavily as scholarship and teaching, but meritorious or exceptional service is not discounted.

The procedures for selection of eminent external referees for the promotion to Professor *APT Manual 3.8.6*) are as follows:

The Dean shall request the names of five eminent external referees from the Department Head and two from the candidate, of these he shall select four and one respectively and solicit detailed reference letters which shall be confidential. The Dean may on occasion choose an eminent referee independent of either the candidate or Head. Further information shall also be required regarding the academic relationship between referees and the candidate. These letters shall form part of the documentation to be considered at FPC.

In the event that FPC makes a recommendation that reverses the recommendation of the Department Head on promotion considerations, the Dean shall provide a detailed explanation in writing to the Head of the factors which justified the decision.

- (3) Tenure -- tenure relies primarily on scholarship and teaching but service contributions also impact on tenure decisions.

The Academic Appointment Review Committee for a Faculty shall be advisory to the Dean (*APT Manual 5.7.1*) and shall be comprised as follows. All voting committee members will be tenured faculty.

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| • Dean or delegate (Chair) | | voting (only in event of a tie) |
| | (NOT person who performed functions of Head as set out in the <i>APT Manual 5.6</i>) | |
| • Department Head | | non-voting |
| • Department Member | appointed by Department Head | voting |
| • Member External to Department | appointed by Staff Affairs Committee | voting |
| • Staff Affairs Member | appointed by Staff Affairs Committee | voting |
| • Member External to Faculty | appointed by Dean | voting |
| • TUCFA Representative | appointed by Faculty Association | non-voting |
| • Student Representative | appointed by Students' Union | non-voting |
| • 2 Additional Departmental Members | appointed by Dean in consultation with Head | voting |

Both genders shall be represented at all meetings. (*APT Manual 5.7.4.2(b)*).

An applicant shall be informed of the composition of the Academic Appointment Review Committee and may make recommendations to the Chair regarding possible changes. (*APT Manual 5.7.4.6*)

In accordance with the *APT Manual* (5.6.13 and 5.6.15) the Committee shall seek signed written advice from within the discipline and shall include at least two eminent academics from the discipline outside the University who shall be invited to assess the quality and progress of the appointee's research performance in accordance with the criteria for tenure as set out in *APT Manual 5.7.5.2*. These assessments shall be held confidential to the Committees directly participating in the tenure procedures.

The candidate may suggest two referees of whom one will be chosen by the Dean. The professional relationship between the candidate and the referees shall be clearly defined. The Head will provide names of three further referees, of which the Dean may choose up to two, with again the professional relationship between the candidate and the referee clearly defined.

According to *APT Manual 5.6.18* the Head shall solicit advice from the academic staff at University of Calgary according to established Departmental procedures, filed with the Dean's Office. These procedures do not require Council approval and are included with the Faculty guidelines as Appendices A-I.

In the event that the Academic Appointment and Review Committee makes a recommendation that reverses the recommendation of the Department Head on tenure considerations, the Dean shall provide a detailed explanation in writing to the Head of the factors which justified the decision.

B. HOW RESEARCH, TEACHING AND SERVICE ARE INTERPRETED FOR APPOINTMENTS, PROMOTION AND TENURE

- (1) Appointments -- for new junior appointments, potential scholarship will be interpreted according to the quality of the research program reflected in their *vitae* and letters of reference. Potential teaching and service effectiveness will be ascertained by letters of reference, teaching evaluations where available and/or personal interview. For reappointments, criteria of interpretation will be along the lines discussed for promotion below.
- (2) Promotion -- scholarship will be judged, on a Department-specific basis, according to the quality of the research program, reflected in roughly descending order by the following kinds of publications: refereed books, book chapters, and articles, including major refereed research monographs; textbooks, edited books, other monographs and articles in non-refereed journals, book chapters, book reviews; other forms of scholarship, e.g., conference papers, research grants, editorship of journals, conference organization, development of computer-assisted learning, data bases, software.

Teaching shall be evaluated on a regular basis and student evaluations shall be required for all academic appointees (Teaching and Research) (see *APT Manual* 3.2.3 and 3.2.4). Teaching shall be evaluated most commonly by the results of the survey conducted by the Faculty and results will be made available to Department Heads. Part of such evaluation of teaching may be based upon the general reputation enjoyed by the teacher among informed peers and students. Such reputation shall be evidenced only by signed documentation or formal evaluation processes initiated in the context of the *APT Manual*, Section 3.5.3 and Section 3.5.4 (*APT Manual* 3.2.4.) Other methods of evaluating teaching effectiveness include Universal Student Ratings of Instruction (USRI), visits to classes by Department Heads, colleague peer-assessment, awards, course outlines, and student comments. Graduate teaching and supervision are assessed as another indicator in teaching effectiveness. Faculty members may also choose to submit a teaching dossier (see Full Council Minutes: 1986-11-04) as collective evidence of teaching effectiveness and improvement. The Faculty also recognizes the legitimate role of academics as 'knowledge brokers' in transferring state-of-the-art knowledge to persons in government, business, etc. through seminars, workshops and short courses for persons outside programs leading to degrees (*APT Manual* 3.2.5). The development, testing and application of computer-assisted learning techniques and software shall be deemed to be innovative teaching when successfully integrated into the teaching of University course offerings and acknowledged by informed peers (*APT Manual* 3.2.6).

Service to the Department, Faculty and University is evaluated for the most part by committee contributions. Broader service to the community, through formal and informal arrangements, is also evaluated as an important service component. Service to Department, Faculty and University through committee activity is a normal expectation of all faculty members. It should be noted that service does not act as a satisfactory surrogate for research and teaching effectiveness (*APT Manual* 3.4.5), particularly in consideration for promotion to full professorial rank. (See also D.2.7 below).

- (3) Tenure – The granting of an appointment *With Tenure* in the professorial ranks requires a determination that, given the applicant's quality and pattern of career performance, there is a substantial likelihood that the applicant will be able to sustain a career as a productive researcher, effective teacher, and active contributor to the University of Calgary community (*APT Manual* 5.7.5.2).

C. EXPECTATIONS WITH REGARD TO RESEARCH, TEACHING AND SERVICE FOR ASSISTANT, ASSOCIATE AND FULL PROFESSORIAL RANKS.

- (1) Assistant Professor -- the scholarship expectation is that a research program will be established during the years in this rank and that evidence of scholarly activity will begin to appear in forms acceptable to Faculty and Department standards.

The teaching expectation is that this rank will be used as a period of growth not only in subject matter but also in methods of subject presentation which will increase teaching effectiveness over time. Participation in teaching development programs will be viewed as an indication of commitment to teaching (*APT Manual* 3.2.2). There is an expectation that by the time promotion to Associate Professor is considered a candidate shall have made a contribution to graduate teaching and/or supervision.

The service expectation is that the Assistant Professor will become involved in the committee work of the Department, and to a lesser extent, the Faculty.

- (2) Associate Professor -- the scholarship expectation is that a research program will become fully established as well as continuing evidence of publications in refereed venues. Evidence of this research program will normally be reflected by a major book or a major series of refereed scholarly articles. Ultimately a major book or a major series of refereed articles will be necessary to meet the scholarship criteria for promotion to full professor.

The teaching expectation is that an Associate Professor will be able and willing to meet undergraduate and graduate classes in her/his fields of expertise with full competence in the ideas and technical terms of the discipline, and with teaching methods sufficient to provide for teaching effectiveness. Graduate student supervision is a normal and continuing expectation of this rank.

The service expectation at the Associate Professor level is that in addition to Department committees, there will be increasing involvement with Faculty and University Committees.

When Associate Professorship is the career rank, there will be a clear expectation by FPC that teaching and service contributions will increase. On occasion, individuals at the Associate Professor level may consider, where their teaching profile is particularly strong in relation to their scholarship, applying for conversion to Instructor or Senior Instructor. In the case that this should occur, the expectations for Instructors are laid out clearly in the *APT Manual* (3.9, 3.10). Individuals who opt for this change should note that increased instructional responsibilities will be expected as a result of this shift, since research expectations will be reduced.

- (3) Full Professor Rank -- the scholarship expectation is that the Full Professor will continue to formulate and implement a continuing set of research activities and that book and/or refereed journal publications will be a normal reflection of those programs.

Teaching expectations are that performance will continue at the same high level as was reflected in the promotion decision.

Service expectations at the rank of Full Professor is that they will continue to contribute to committee work at all levels of University governance and to supplement this University service with community service when and where appropriate.

D.1 PROCEDURES - FACULTY PROMOTIONS COMMITTEE, SOCIAL SCIENCES

- 1.1 FPC evaluates individuals, not Departments. The Head's responsibility is to give FPC an accurate picture of an individual's performance in the areas of teaching, research and service.
- 1.2 Prior to submission of recommendations to the Faculty Promotions Committee, a Head may formally seek the advice of a departmental committee. If the Head chooses to seek the advice of a departmental committee, procedures shall be established (see *APT Manual* 6.2.11) and must be included with the Faculty guidelines. Relevant guidelines are appended as Appendix J.
- 1.3 The Head is solely responsible for the recommendation to the Faculty Promotions Committee; that is, where a departmental advisory committee is established in accordance with 6.2.11 of the *APT Manual*, the advice of the committee shall not be binding on the Head.

- 1.4 In addition it is expected that a copy of the Head's assessment shall be presented to and discussed with the member of staff so concerned within the scheduled time period established by the General Promotions Committee (APT Manual 6.2.4.).
- 1.5 Assessment of Adjunct or Clinical Appointees: Review of performance shall occur in the year prior to renewal of the appointment. If promotion to the next rank is being recommended, the recommendation shall be brought forward to the Faculty Promotions Committee in February of the year of reappointment in accordance with FPC guidelines for regular full-time faculty members. The spirit of the criteria for the rank shall be maintained, while also remaining cognizant of the special nature of the appointment, as well as any expectations spelled out in the specific letter of appointment. If no recommendation for promotion is being processed, the Departmental assessment shall be added to the appointee's file, with a copy to the Dean's Office.
- 1.6 For the awarding of emeritus status, FPC normally interprets Article 11.1(b) in the GPC Manual, "completion of a distinguished career" to mean the attainment of the rank of Full Professor.
- 1.7 FPC evaluates an individual's performance in the reporting period, but history of performance is often required to set the current work or future research projections in proper perspective. It is useful for the Head to bring *curricula vitae* and other supporting documents to FPC meetings to assist in answering questions.
- 1.8 Heads are expected to substantiate their evaluation of teaching with concrete evidence. This should include student evaluations (*APT Manual 3.2.3.*) and may additionally consist of questionnaire results as well as other kinds of evidence: dossier, etc. student concerns/comments, grad student evaluations, etc. quality of supervision (*APT Manual 3.2*). Heads should bring the evidence with them to FPC so that it may be produced as required. Faculty members should make evidence available and be aware that absence of it may have a negative impact on assessments.
- 1.9 FPC will credit only those works published in the reporting period, and not those works in print or in press. All such publications must be reported on the assessment form with a full bibliographic citation, including page numbers. It is necessary to make available publications, especially books and monographs at FPC meetings.
- 1.10 Heads' recommendations should reflect degrees of performance using increment values of 0.0, 0.4 or upwards in multiples of one-fifth. Faculty members are entitled to request a department head to reconsider or explain a merit increment recommendation prior to the meeting of FPC. Department committees which are advisory to the Department Head for the determination of merit, promotion and tenure review have no official standing under Faculty and University policy. All recommendations in such cases are to be the responsibility of the Head, and requests for reconsideration and explanation shall be addressed to the Head.

Faculty are entitled to appeal to FPC any merit or promotion recommendation made by their Department Head. Normally in its deliberations, save in the case of appeals, FPC does not consider reducing a merit increment by less than 0.4. The Chair of the FPC shall provide a written explanation to the Head and to the individual faculty member in instances where a reduction of the merit increment recommended by the Head exceeds 0.2.

- 1.11 The normal order of business at FPC meetings will be:
- a. Discussion of procedures as required, with reminder of confidentiality.

- b. Promotion to Full Professor in a departmental order selected by the Dean. Review of selection procedure for external referees.
- c. Increments of Professors in a departmental order selected by the Dean.
- d. Increments of Associate Professors in a departmental order selected by the Dean.
- e. Increments of Assistant Professors in a departmental order selected by the Dean.
- f. Promotion to Associate Professor, as cases are encountered.
- g. Reconsideration of consistency of all recommendations.
- h. Consideration of Emeritus status.
- i. Appeals will be scheduled separately.

1.12 FPC membership shall be comprised as follows (APT Manual 6.4.4):

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| • Dean | | voting (only in event of a tie) |
| • Department Heads | | voting |
| • Associate Dean (Research and Development) | | non-voting |
| • 1 Tenured Faculty Member | elected by Faculty | voting |
| • Undergraduate Student Representative | appointed by Students' Union | voting |
| • Graduate Student Representative | appointed by GSA | voting |
| • TUCFA Representative | appointed by Faculty Association | non-voting |

Both genders shall be included among the voting academic staff members on the Committee. (APT Manual 6.4.3d).

- 1.13 Voting is by show of hands. A quorum shall be 51%, including the Dean or other member who votes only to break a tie. The non-voting Faculty Association member shall be present at all meetings of FPC. (APT Manual 6.4.9). All votes are advisory to the Dean.
- 1.14 Individual committee members have a responsibility to declare any conflict of interest if it exists. A Faculty Promotions Committee shall have the right to rule a member ineligible to vote or to require a member's withdrawal from the deliberations of the Committee if it considers a serious conflict of interest exists. Such a ruling requires a decision by majority vote. (APT Manual 6.4.12, 6.4.13)

Student representatives on FPC are normally expected to be present for consideration of all cases brought before FPC, except in the case of an identified conflict of interest, and to have reviewed all documentation prior to meetings. The student organizations naming representatives shall ensure that the representatives can be present for the complete deliberations of FPC.

- 1.15 If an appellant exercises the option to appear in person before FPC, the Head will be present at the same time. Both will withdraw while FPC votes on the appeal.

At any Faculty Promotions Committee meeting where the appellant is in attendance, the appellant may be accompanied by an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the Committee the appellant shall inform the Chair of the name of the advisor.

- 1.16 If an appellant chooses not to appear in person before FPC, the Head will be present to answer questions and will withdraw while FPC votes on the appeal.

An academic appointee who wishes to appeal a recommendation and who is on an approved leave of absence that precludes attendance, may name a representative (who must be a member of the Continuing, Contingent Term, or Limited Term academic staff) who may act for the academic appointee concerned in all stages of the appeal.

- 1.17 In the event there are undistributed increments remaining following the consideration of all faculty members, the Dean, on the advice of members of FPC, shall allocate them in a manner which takes into consideration fairness and exceptional performance. In identifying individuals who may receive additional increments, Department Heads may not normally nominate members of their own departments.

D.2 OPERATIONALISATION OF EVALUATION CRITERIA

- 2.1 Performance expectations increase with an increase in rank and salary. The same accomplishments will be more highly rewarded for an Associate Professor than for a Full Professor, and for an Assistant Professor than for an Associate Professor.
- 2.2 Excellence in teaching will be rewarded with extra increments. Typical evidence would include such things as: very high results on student questionnaires, particularly if repeated; receipt of Students' Union or other awards for teaching excellence; innovative approaches to computer-assisted learning; performance of an unusual role with graduate students, or other evidence of excellence provided in a teaching dossier.

Evidence of unsatisfactory teaching would include: repeatedly low results on student questionnaires; student complaints to Head or Dean; neglect of University rules on course outlines, and grades. Unsatisfactory teaching will result in lower increments, even 0.0.

- 2.3 All professors -- Assistant, Associate, Full -- are expected to maintain an active research program. A viable research program implies scholarly publication of results on a regular basis. Although a year or two may occur without scholarly publications, it will be viewed with increasing concern reflected in lower increments. If FPC concludes that the research program is no longer active or viable, an increment of 0.0 will be awarded. Good teaching and service cannot substitute for scholarship.
- 2.4 FPC is interested in the quality of research and publication. Since many disciplines are involved, FPC must rely on the Head's assessment of quality, as advised by internal departmental standards. It is the Head's responsibility to be able to give FPC objective information about the quality of journals, publishing houses and consideration of review of published works. FPC will entertain arguments for extra increments based on the quality of publication outlet, e.g., major journals, and high-quality university presses.
- 2.5 FPC lays special emphasis on refereed publications. In the social sciences, several forms of quality-control exist for articles, books, chapters, computer software and monographs. FPC values them in approximately the following order, realizing that individual cases may combine aspects of more than one category:
- a. full peer review -- manuscript sent anonymously to two or more experts on the topic;
 - b. academic editorial selection -- manuscript selected by editor, or editorial board of journal, special issues, conference, series, etc. This form of refereeing is considered stronger if editors require revisions than if they merely print whatever is submitted;
 - c. commercial editorial selection -- manuscript selected by publisher on consideration of sales potential and relation to other items in catalogue. This category may include textbooks for university use as well as trade books for general sale. This form of selection is considered stronger if the publisher relies on academic consultants. Also, FPC places higher value on

textbooks and trade books to the extent that they embody original scholarship rather than popularization or compilation;

- d. collective self-publication -- Department or other body prints material -- often conference proceedings or occasional papers -- at its own expense without external scrutiny. This has relatively little merit for FPC unless it can be demonstrated that the publication meets some external tests of quality, e.g., substantial sales in academic markets, course adoptions in other institutions, reviews in academic journals.
- e. vanity press -- author pays for publication, either by forming a company or by paying an existing company. No refereeing of any kind is performed.

2.6 Service

In addition to teaching and research activities, full-time Faculty members are expected to be available for service activities at the University, Faculty and Departmental levels. Much of this service will be reflected in committee work within the institution but other kinds of institutional service are also recognized. In addition, service to non-University entities is encouraged.

- a. Editorship of journals shall be considered as an appropriate form of scholarly activity and shall be weighed upon the qualitative criteria above in 2.4, 2.5, in terms of the ranking of the journal in the discipline or interdisciplinary journals as appropriate (See *APT Manual* 3.3.3). As also noted in *APT Manual* 3.4.2 service may also be measured by informed assessment of evidence of substantial contributions to activities such as service on editorial boards of disciplinary and interdisciplinary journals, grant selection committees and adjudication panels or professional bodies, regional or national agencies and similar professional involvement.
- b. Faculty members should note that as in the case of teaching and scholarship, long-term, persistent neglect of departmental and faculty service responsibilities can also be considered as a basis for an “unsatisfactory” or zero increment award by the Head and FPC.

2.7 Promotion to Professor requires excellence in all three areas of teaching, research, and service. Accomplishments in research will normally include, among other publications, at least one book acknowledged to have made an original contribution to scholarship; or if books are not commonly used in a discipline to convey the results of original research, a number of articles which singly or together have made a demonstrable and significant impact on the discipline.

2.8 Promotion to either Associate or Full Professor rank involves a retrospective consideration of the candidate's entire career as a means of estimating future performance. All documentation shall be in accordance with the *GPC Manual* 6.10. In this respect, promotion differs from annual increment decisions, which emphasize the previous year's performance in the light of career *progress*.

2.9 Leaves/Secondments

- For purposes of the Faculty of Social Sciences, persons on sabbatical leave, unpaid leaves and leaves of absence, for part or all of the year shall be assessed as stated in the current *GPC Manual*, 6.3 and 7.0. Because evaluations for tenure and promotion cover the entire career, it is important to ensure that individuals are not penalized because of the effect of leaves at any stage in the career.
- Each member of the faculty will file their sabbatical report as part of their annual report for the year in which the sabbatical ends. In the event that the sabbatical ends on December 31, the

faculty member will have until January 15 following the reporting year to turn in their report as part of the annual assessment material

- For purposes of assessing secondments, the appropriate internal or external agency or institution shall be approached for an assessment of the period under question, and the assessment shall be based on the initial agreement among the Faculty member, Head and Dean regarding the appropriate weighting of research, service and teaching.

D.3 PROCEDURES FOR SELECTION AND APPOINTMENT

To conform with *APT* Section 4.8.11 relating to “Extraordinary Procedures for Expedited Spousal Hiring”, these procedures in the Faculty of Social Sciences shall normally be applied at the Department level. In the event the hiring may affect more than one Department, all units directly affected shall be deemed to comprise the Destination Unit.

Procedures for Tenure

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| <i>Department of Anthropology</i> |
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Once the applicant for tenure has completed their file, including the curriculum vitae, relevant publications and other appropriate materials, tenured faculty in the Department of Anthropology are given no less than two weeks to inspect these materials. A meeting of all tenured faculty is then convened and advice is solicited, and a recommendation made to the Head. A confidential written record of the advice given will be maintained, and a fair summary of that advice will be included in the Head's assessment.

In addition, up to two additional individuals may be named by the department head, with the agreement of the applicant. These individuals must be tenured faculty members of the University of Calgary with expertise in one or more of the applicant's areas of research. These individuals will have access to the same materials as provided to tenured department members, and be subject to the same obligations of confidentiality. They shall provide their advice on the tenure application to the Head, and a fair summary of this advice shall be included in the head's assessment.

Procedures for Tenure

Department of Archaeology

Procedures to be followed in Archaeology for the Head to solicit advice before completing a recommendation concerning tenure.

- The Head will consult with all tenured staff within the Department of Archaeology and may consult with untenured staff if they have direct knowledge of the applicant's academic work. Consultation shall be done through private interviews.
- The Head may seek advice from tenured or untenured staff outside the Department of Archaeology when they have direct knowledge of the applicant's academic work. The applicant will be asked who outside the Department should be consulted, but the Head may consult with others as well. The applicant will be provided with a list of all those consulted. Consultation shall be done through private interviews.
- The applicant's curriculum vitae and relevant research/publication materials will be made available in the main office of the Department for at least two weeks for inspection by those included in the consultation process.
- The Head shall maintain a confidential written record of any comments received, and a fair summary of the advice received shall be included in the Head's assessment.

Procedures for Tenure and Promotion

Department of Economics

In order to provide the Head with effective advice on the question of an individual's application for tenure or promotion, a departmental committee shall be struck and shall follow the same rules and processes for all cases. The membership and the duties and responsibilities of that committee are described in the following five points.

1. That, for each case, the Head in consultation with the Advisory Committee, shall appoint a departmental Tenure or Promotion Committee (hereafter referred to as the Committee) consisting of three continuing members of the department, plus the Head. For greater clarity in these procedures, the term "continuing members of the department" herein shall mean only those faculty members holding Continuing appointments in economics, or if part-time or joint with other units, a Continuing appointment which is at least 50% FTE in economics. Normally, the Head would chair the Committee. Where possible, at least one member of the Committee should be in the candidate's broad field of research. Members of a Tenure Committee must themselves be tenured. Members of Promotion Committee must themselves hold at least the rank for which the candidate has applied, except that in the case of an application for promotion within the instructor ranks, members of the Committee may alternatively hold the rank of Associate Professor or Professor. No candidate shall serve as a Committee member on a Committee that will review or discuss the candidate's own case.
2. That the Committee be charged with the responsibility of actively soliciting written input from continuing members of the department. Committee members may consult informally with the continuing members of the department, such as by conducting interviews, conversations or meetings, especially since these interactions may provide new context or perspectives on the candidate's application. However, in order for the Committee to consider the advice or recommendations of continuing members of the department or other tenured faculty, that advice must be in writing and signed. To ensure informed comment, and subject to the permission of the applicant, the Committee will make the candidate's curriculum vitae and relevant research, publication, teaching and service materials available to continuing members of the department for a period of no less than two weeks. The applicant is required to include information on teaching effectiveness and service responsibilities. The Committee may also seek advice from tenured faculty outside the department when such persons have direct knowledge of the applicant's academic work. While the applicant shall have opportunity to suggest who outside the department should be consulted, the Committee or the Head may consult others as well. When the applicant is seeking tenure or promotion to Professor, those people consulted in this manner shall not be nominated by the Head to the Dean (or to the Chair of the Academic Appointment Review Committee (AARC), if appropriate) as external referees. The applicant and the Dean (or Chair, AARC) will be provided with a list of the names of all whose advice was sought.
3. For tenure or promotion to Professor, that the Committee agree on a list of possible external referees to be provided to the Head. The contents of letters written by external referees are confidential to the Head and the Academic Appointment Review Committee, or to the Head and the Faculty Promotions Committee.

4. That the Committee assess the merits of the application using the standards for tenure or promotion, as articulated in Section 3 of *Procedures Pertaining to Appointment, Promotion and Tenure of Academic Staff* (the APT Manual), and the Faculty of Social Sciences *Policy Guidelines Relative to Appointment, Increment, Promotion and Tenure*.
5. That the Committee make a recommendation to the Head, and compose a brief in support of its recommendation. The Head shall maintain a confidential written record of any comments received. A fair summary of the advice received shall be included in the Head's assessment prepared under section 5.6.19 of the APT Manual (June 2001, and as subsequently revised).

Approved by the Department of Economics, November 20, 2002.

Procedures for Tenure

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| <i>Department of Geography</i> |
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Article 5.6.18

- a) *[Guidelines must] provide for a consistent process within a Department or equivalent. The same rules must apply to every applicant within the Department.*

Department Head's response:

As normal operating procedure, the Department Head ensures that the process is consistent and that the same rules and processes are applied to every applicant. Each applicant has an opportunity to meet with the Head to discuss procedures prior to commencing the formal tenure application process. The APD manual is consulted throughout the process.

- b) *[Guidelines must] identify whose advice is to be sought within the Department or equivalent. At a minimum, all tenured staff within the Department must be given an opportunity for input.*

Department Head's response:

All tenured academic staff within the department are given opportunity for input, as are appropriate individuals as identified in point 'c', following.

- c) *[Guidelines must] allow for seeking advice from at least tenured academic staff outside the applicant's Department when such persons have direct knowledge of the applicant's academic work. The procedures must give the applicant an opportunity to suggest who outside the Department should be consulted, but the Head may consult with others as well. The Head must provide the applicant with a list of all those whose advice was sought.*

Department Head's response:

During a formal meeting with the Department Head, the applicant is asked to identify who outside the department should be consulted. In cases where applicants are appointed to joint degree or other collaborative programs, or have cross-faculty or administrative appointments, the Head initiates the search for advice from the Program Director/Coordinator(s), Department Head(s) or other senior administrator(s) as appropriate. The Head provides the applicant with a list of all those whose advice was sought.

- d) *[Guidelines must] provide that the Head make the applicant's curriculum vitae and relevant research/publication materials available for no less than two weeks for inspection by those included in the consultation process. Under no circumstances shall the Head disclose the contents of letters solicited from referees, which are confidential to the Academic Appointment Review Committee (see Section 5.6.15).*

Department Head's response:

While respecting FOIP requirements, the Department Head:

- a) ensures each applicant's curriculum vitae and relevant research/publication materials (hereafter referred to as files) are located in a secure but accessible location, for a period not less than two weeks, to enable tenured academic staff and others identified as part of the consultation process, to view the applicant's files;
 - b) provides an opportunity for signed, written input from all tenured faculty members in the Department regarding the applicant;
 - c) in cases where applicants are appointed to joint degree or other collaborative programs, or have cross-faculty or administrative appointments, the Head provides secure access to all applicant's files to, and seeks advice in the form of signed, written comment from, the Program Director/Coordinator, Department Head or other senior administrator as appropriate;
 - d) under no circumstances will the Head disclose the contents of letters solicited from referees.
- e) *[Guidelines must] specify the process by which the Head solicits advice. This process may involve conducting interviews, soliciting written comments, a departmental committee or meeting, or some other fair process*

Department Head's response:

The Department Head solicits signed, written comment from tenured academic staff, relevant colleagues identified under previous subsections, and others identified as part of the consultation process.

- f) *[Guidelines must] provide that the Head shall maintain a confidential written record of any comments received. A fair summary of the advice received shall be included in the Head's assessment prepared under Section 5.6.19.*

Department Head's response:

The Head maintains a confidential record of the written comments received. The Head's assessment shall reflect a fair summary of the comments and advice received.

(approved October 23, 2000, Department of Geography)

Procedures for Tenure

Department of History

In order to fulfill the requirements under sections 5.6.18 and 5.6.19 in the newly revised Appointment Promotion Tenure manual, the following process be undertaken by the Department of History as part of the consultation process:

- In the early stages of the tenure review, the head will meet with the candidate and ask if he/she wishes the head to seek the advice of any specific tenured faculty member at the University of Calgary outside the Department of History, who might have knowledge of the candidate's academic background.
- The head may at his/her discretion consult other tenured faculty members of the University of Calgary who might have knowledge of the candidate's academic work. (APT Section 5.6.18). This option will normally arise in cases of joint appointments. The head must inform the candidate of the names of such people.
- In all cases of application for tenure, all tenured full-time members of the Department of History will be consulted for their input.
- The candidate's curriculum vitae, relevant publications, and teaching evaluations will be available to tenured members of the department for their assessment.
- The departmental file will not include confidential letters of reference. Under no circumstances will the head disclose the contents of letters solicited from referees, which are confidential to the Academic Appointments Review Committee (see APT Section 5.6.15)
- Tenured members of the department may submit a written assessment or commentary that will form part of the head's fair summary of the consultation process.
- In all cases, there will be a meeting of all tenured faculty to discuss and vote on the tenure application. The head will include the results of this deliberation in the head's assessment, prepared under APT section 5.6.19.
- The role of the department and the head is advisory to the Academic Appointment Review Committee, which is advisory to the dean.
- This process with respect to consultation within the department will be the same for all faculty members seeking tenure.

Approved at Department of History meeting, October 29, 2002

Procedures for Tenure

Department of Linguistics

The Department fulfills §5.6.18 of the APD manual in the following way. When an academic appointee is under consideration for tenure, the Head calls a meeting of all tenured faculty members of the Department. At least two weeks before this meeting, the applicant's curriculum vitae and samples of published research are made available. At the meeting, feedback is solicited from all participants and a vote is taken on whether the tenure application is supported. Confidential minutes of this meeting are taken.

The applicant can also suggest that particular individuals from outside the Department be consulted, and the Head can seek advice from external faculty. In this case, the applicant will be provided with a list of names of any individuals who have been consulted.

When filling out the relevant section of the applicant's tenure form, the Head includes information about the consultation process and a summary of the advice received.

Approved by department, June 16, 2000.

Procedures for Tenure

Department of Political Science

- In every case under the application of the newly revised APD manual, all tenured departmental faculty will be asked for written comment.
- The relevant c.v. and available publication materials will be provided to all tenured faculty at least two weeks prior to the date of the written submissions. This departmental file will not include confidential letters of reference.
- The Head will request the advice of the departmental Staff Affairs Committee; the Committee will review the entire file and the Head will report on the Committee's recommendations in the Head's assessment.
- The Head will maintain a confidential written record and a "fair summary" shall be provided in the Head's assessment prepared under APD Section 5.6.19.
- Extra-departmental consultation constitutes an entirely new dimension to departmental tenure consultation. The need for extra-departmental consultation arises in two cases. First, when the candidate has a joint appointment, the Head shall request such written advice from the relevant head(s). Second, the candidate may request, in writing, written comment from any specified, qualified extra-departmental member(s) of faculty. Should the Head agree, the *curriculum vitae* of such faculty member(s), as well as their written advice, will be requested. Should the Staff Affairs Committee identify other similarly well-qualified faculty member(s), the Head shall so inform the candidate. If the candidate does not provide written objection, the Head shall request the *curriculum vitae* and written comment of such faculty member(s).

November 3, 2000

Procedures for Tenure

Department of Psychology

This document details the procedures for the Head of Psychology to solicit advice before completing a recommendation concerning tenure:

The Head seeks the advice and recommendation of members of the Department of Psychology through the standing Performance Review Committee (PRC). PRC consists of the Head (Chair), the Associate Head, and seven elected members representing the constituents of the seven formal research programs in the Department. The applicant may also choose an advocate to represent them at the meeting to consider their application.

At least two weeks prior to PRC's meeting to consider the tenure decision, all faculty members of the Department will be given access to the applicant's tenure file, curriculum vitae and all materials submitted by the applicant concerning research, teaching, and service, and they will be asked to submit written recommendations to the PRC through the Head. The applicant may also provide names of individuals outside the Department they wish the Head to consult with. The Head shall provide the applicant with a list of all those whose advice was sought.

Members of the PRC will also have the applicant's curriculum vitae and all materials submitted by the applicant concerning research, teaching, and service.

The meeting of PRC involves a formal discussion of the applicant's curriculum vitae, their merit record at this and other universities, the written recommendations from Departmental members, and any other relevant considerations. A formal motion to recommend tenure is considered. It is the practice of the Head to accept the majority recommendation of the PRC.

Following the PRC meeting, the Head meets with the applicant to discuss the recommendation that will be made, and the basis for that decision. The Head then prepares the Assessment, including a fair summary of all advice received, and provides the applicant with a copy, at least two weeks prior to the required Dean's deadline.

January 9, 2001

Procedures for Tenure

Department of Sociology

Review of applicants for positions in the Department of Sociology with tenure proceeds as follows:

1. The Head meets with the applicant to discuss names of external referees, U. of C. faculty outside the Department who may have direct knowledge of the applicant's work, if appropriate, and the content of the file documenting the applicant's record in teaching, research, and service.
2. The Head holds a meeting of the Department's elected Committee on Appointments, Promotions, and Increments (CAPI) to discuss the application. CAPI makes its recommendation based on an examination of the application file, which must be made available to members at least two weeks prior to this meeting.
3. The file documenting the applicant's record, excluding letters from external reviewers is made available to all tenured faculty in the Department at least two weeks prior to their meeting.
4. The head convenes a meeting of all tenured faculty in the Department. The Head presents the applicant's record, along with the recommendation of CAPI, open discussion takes place, and a vote by secret ballot is conducted. The Head reports the results of that vote in the Head's assessment.
5. The Head maintains a confidential record of comments received on the applicant, reporting them in general terms in his or her assessment.
6. The procedures outlined above are applied consistently to all applicants for appointment with tenure in the Department of Sociology.

Prior to submission of recommendations to the Faculty Promotions Committee, the Heads of the Departments of Anthropology, Economics, Political Science, Psychology and Sociology formally seek the advice of a departmental committee. These committees follow procedures as outlined in the APT 6.2.11. Specific guidelines to each department are outlined in the attached:

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| <i>DEPARTMENT OF ANTHROPOLOGY</i> |
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The Department of Anthropology procedures for recommendations to the Faculty Promotions Committee are different for annual merit recommendations and for promotion.

Guidelines for the Departmental Committee Advisory to the Head regarding Faculty Promotions Committee annual merit recommendations:

- a) The members of the departmental committee will include:
 - Department Head
 - One tenured faculty member from the area of primatology, to be elected by vote of all full-time faculty members plus the Department Head
 - One tenured faculty member from the area of social & cultural anthropology, to be elected by vote of all full-time faculty members plus the Department Head.
- b) The departmental committee will include at least one male and one female.
- c) The Head shall make the annual report and any additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the departmental committee. No other materials shall be circulated to the committee without the consent of the academic staff, with the exception of the USRI ratings (without the qualitative comments).
- d) The committee will ensure that a member of the committee shall not be involved in the discussion of her or his own case.

Guidelines for Promotion Recommendations

- a) All tenured faculty, or in the case of promotion to Full Professor, all Full Professors, will meet to review cases for promotion and make a recommendation to the Department Head.
- b) All materials submitted by the academic staff member will be available to these faculty members on a confidential basis for no less than one week prior to the meeting. No other materials shall be circulated to the committee without the consent of the academic staff member. Under no circumstances shall the Head disclose to the advisory committee the contents of letters solicited from referees; such letters are confidential to the Faculty Promotions Committee.

DEPARTMENT OF ECONOMICS

Guidelines for the Departmental Committee Advisory to the Head regarding Faculty Promotions Committee annual merit recommendations:

The Department of Economics has an Advisory Committee for the consideration of merit increments. The procedures for the Advisory Committee is consistent with APT Manual 6.2.11 (a-d, f-g) and 6.2.11(e) is currently satisfied by the Department's custom that the Head is a voting member of each committee. Outlined below are the terms of reference for this committee:

Terms of Reference: Advisory Committee (as amended 26 September 2001)

1. Constituted of three members of the department's continuing academic staff, plus the Head of the department. These members will be elected by secret ballot by a vote of all members of the department's continuing academic staff. Departmental faculty members who will be on leave or sabbatical are ineligible for election, as is any member who withdraws his/her name before balloting commences. The Head of the department has the prerogative to appoint a fourth member from the department's continuing academic staff in addition to those elected.
2. The role of the committee is advisory.
3. The committee will participate in the review of annual assessments of individual faculty members, with the exception that no committee member will be involved in the discussion of his/her own case.
4. To fulfill its advisory responsibility effectively, at least one week prior to the meeting of the Committee on merit increment the Committee will be provided with the annual report and any additional materials submitted by the academic staff member being evaluated. No other materials shall be circulated to the Committee without the consent of the faculty member being evaluated.
5. The committee will advise the Head on other matters which he/she may bring before it. To fulfill its advisory responsibility effectively, at least one week prior to the meeting of the Committee, the Committee will be provided with all information that is relevant to the issues on which advice is being sought.

Guidelines for Promotion Recommendations

The guidelines for Promotion are included in Appendix C (attached). These procedures are consistent with the APT Manual 6.2.11 (a-d and f-g), and 6.2.11(e) is currently satisfied by the Department's custom that the Head is a voting member of each committee.

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| <i>DEPARTMENT OF POLITICAL SCIENCE</i> |
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The department has created a formal Performance Review Committee (PRC) which will be identical in makeup to the Executive Committee. The committee at present consists of 7 members: three elected by the members of the Department along with the Undergraduate and Graduate Coordinators and Acting Head and Acting Associate Head. Elected representatives serve a one year term on the committee and the Undergraduate and Graduate Coordinators serve two year terms. This means that eventually everyone in the department will serve on this committee.

The final decision on merit allotment is the responsibility of the Head but normally the Head will accept the advice of the PRC.

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| <i>DEPARTMENT OF PSYCHOLOGY</i> |
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Department Guidelines for the Performance Review Committee (PRC)

Written to comply to APT Manual, clause 6.2.11

- a) All deliberations and recommendations of the PRC Committee for promotion, tenure and merit allocation are advisory to the Head.
- b) The PRC committee consists of 9 members, 7 members representing each of the 7 research programs, the Associate Head and the Head. The membership on PRC is for a two-year period, and members are chosen by rotation in each of the respective constituencies.
- c) In the case of consideration for promotion, tenure and merit allocation of an incumbent PRC member, or in the case of consideration for promotion, tenure and merit allocation of a spouse or significant other of an incumbent PRC member, a designate from the research program in question replaces the incumbent PRC committee member.
- d) In the case of consideration for promotion and tenure, the PRC committee receives an oral report from the committee member representing the academic staff member's research group, summarizing the research groups recommendation.
- e) The departmental PRC committee includes both genders.
- f) In the case of assessment and merit increment recommendation, the Head makes the annual report and any other additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the PRC meeting. No other materials are circulated to the committee without the consent of the academic staff member, unless the Faculty guidelines specify otherwise
- g) In the case of promotion, the Head makes the application for promotion, the curriculum vitae and a dossier prepared by the academic staff member documenting their record in the areas of research, teaching and service, available to the committee on a confidential basis for no less than one week prior to the meeting of the PRC committee. No other materials are circulated to the committee without the consent of the academic staff member, unless the faculty guidelines specify otherwise. Under no circumstances does the Head disclose to the PRC committee the contents of letter solicited from referees – such letters are confidential to the Faculty Promotions Committee.

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| <i>DEPARTMENT OF SOCIOLOGY</i> |
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The Department of Sociology procedures for awarding merit increments and making promotion decisions involves an elected committee of three members - the Committee on Appointments, Promotions and Tenure (CAPI) - recommending increment values and promotions to the Head. Consistent with Clause 6.2.11 of the APT Manual, the procedures are as follows:

- a) The process is applied consistently to all faculty eligible for increments or promotions.
- b) Members of the committee are elected through a secret ballot of all full-time Board appointees.
- c) When the case of a member of the committee is considered, that member leaves the room and is not permitted to provide additional information beyond that provided by all other faculty.
- d) In the case of increments, no additional advice is solicited. In the case of promotions to associate and tenure decisions, a meeting of all tenured faculty provides advice to CAPI. In the case of promotion to full professor, a meeting of all full professors provides such advice.
- e) Since 40 percent of Board appointees in this Department are now women, our election process has invariably produced a gender-balanced committee.
- f) In the case of assessment and merit increment recommendation, annual reports and other materials submitted by faculty members are made available to CAPI members no less than one week prior to meeting. Teaching evaluations or other materials are made available to CAPI only if submitted by faculty members.
- g) In the case of promotion, the curriculum vitae and other materials submitted by the faculty members are made available to members of the Department who are eligible to vote on the promotion and to CAPI no less than one week prior to each meeting. No other materials are circulated. Letters from referees are not available to either voting faculty members or members of CAPI.