

GPC Manual



UNIVERSITY OF
CALGARY

***Manual of Policies and
Procedures for the Annual
Assessment of Academic
Staff (Salary Increments
And Promotions)***

October 2005

**MANUAL OF POLICIES AND PROCEDURES
FOR THE ANNUAL ASSESSMENT OF ACADEMIC STAFF
(INCREMENTS AND PROMOTIONS)**

This version of the *GPC Manual* has been amended to incorporate the provisions of the
Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff (APT Manual)
as amended June 25 and December 10, 2004.

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1.0 GENERAL

1.1 Use of Manual

This Manual, which has been prepared under the authority of the President, contains the policies and procedures for the use of promotions committees, Heads, Deans and other individuals involved in the process of making recommendations for increment and promotion awards to academic staff.

1.2 Definitions

The following terms are used consistently throughout the Manual:

Academic appointee means all staff holding a 'Continuing', 'Contingent Term' or 'Limited Term' (full or part time) Board of Governors' appointment – teaching, administrative and professional.

APT Manual means the current *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff* approved by the General Faculties Council and Board of Governors.

Career Progress Adjustment (CPA) means the component of an increment unit determined by the General Promotions Committee to be the award when the evaluation of a staff member's performance is satisfactory (currently 0.4 of a unit); a CPA is not automatic.

Dean means the administrative officer responsible for making and forwarding increment and promotion recommendations to the General Promotions Committee (GPC).

Department Head means the senior administrative officer of a formal Department in a departmentalized faculty, or the equivalent officer in a non-departmentalized faculty or in a non-faculty unit.

Faculty Promotions Committee (FPC) means a Faculty Promotions Committee established pursuant to Section 6.4 of the *APT Manual*.

GFC means General Faculties Council.

Increment means a unit awarded on the basis of an evaluation of an academic appointee's performance.

Majority vote means any number of votes which is greater than one-half of the total number of votes cast by persons present and eligible to vote (an abstention is not a vote).

1.3 Authority

- 1.3.1 Under Section 84(3) of the **Post-Secondary Learning Act** the Board of Governors has the responsibility for determining the salaries for academic staff: "A board shall, subject to any existing agreement, determine the remuneration of academic staff members". Furthermore, under Section 22(2): "A person shall not be appointed to, promoted to or dismissed from any position on the academic staff at a university except on the recommendation of the president made in accordance with procedures approved by the general faculties council".

- 1.3.2 The procedures approved by the GFC related to the annual assessment of academic staff are set out in the *APT Manual* referred to in the Definitions Section. This Manual incorporates all material from the *APT Manual* related to the assessment of academic staff, merit increments and promotion, and such extracts are identified by placing them in italics and citing the appropriate APT Section number in square parentheses.

2.0 GENERAL PROMOTIONS COMMITTEE

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

2.1 Membership

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

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

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

A member of the General Promotions Committee cannot also serve as a member of a Faculty Promotions Committee (or equivalent), except in unusual circumstances, requiring approval of the Chair, General Promotions Committee. [APT 6.5.2]

The current GPC Membership Directory is attached as Appendix A.

The General Promotions Committee was first established by GFC in 1966 with the concurrence of the President for the purpose of considering recommendations for the award of increments and promotion of individual academic staff members on a University-wide basis. This Committee operates in accordance with the current *APT Manual*.

2.2 Terms of Reference

2.2.1 The GPC has the following terms of reference:

It shall review, evaluate, and recommend to the President on increments and promotions to be awarded to members of the Academic Staff holding Continuing, Contingent Term, and Limited Term appointments, except the President, Vice-Presidents, and individuals holding other senior positions designated by the President – see Appendix B.

2.3 Operational Procedures

2.3.1 The GPC shall elect a Vice-Chair from among its voting members, who shall act in the absence of the Chair.

2.3.2 No member of the GPC may send a substitute representative or alternate to any meeting.

2.3.3 *In recognition that Deans, acting with the advice of a Faculty Promotions Committee, represent the level at which peer assessments can be carried out most effectively, the General Promotions Committee's overall responsibility to conduct a regular review of every academic appointee's status shall be discharged by subjecting all recommendations for increments and promotions as follows:*

- a) *in the first instance, to a general review to ensure that there has been an equitable and consistent application of the assessment criteria; [APT 6.5.11]*
- b) it is expected that Deans will distribute the entire increment allocation to academic staff in their respective faculty / unit;
- c) *and that all increment recommendations shall reflect a high degree of discrimination based on the overall assessment of performance during the reporting period [APT 6.5.11], and increments in the range of 2.0 to 3.0 units shall not be considered excessive provided the case for outstanding performance is well documented;*

GPC shall pay particular attention to sets of recommendations which are uniformly close to the average increment available per eligible academic appointee. It is particularly important that outstanding performance be recognized and rewarded with accelerated career progress, and that unsatisfactory performance be identified in a timely fashion, for remediation or for subsequent action as outlined in Section 6.6 of this Manual.

- d) the general review will not normally result in Deans' recommendations being changed; however, *the General Promotions Committee may require a Dean to reconvene FPC to reconsider some or all of a set of recommendations to ensure compliance with APT Section 6.5.11 [APT 6.5.13]*
- e) *The GPC shall restrict its specific consideration of individual recommendations to those categories for which it has requested special documentation be prepared and distributed in advance (e.g. exceptional increments, senior promotions, etc.) [APT 6.5.12], as set forth in Section 6.10 of this Manual;*
- f) the following cases shall be considered individually:
 - all recommendations (by Deans) for increments for academic staff members not considered by a FPC (i.e. Heads, Associate Deans, Assistant Deans, etc.) See Section 3.2.1 – 3.2.1.1 of this Manual;

- all recommendations for promotion to the rank of full Professor;
 - all appropriate appeals;
 - all recommendations for the award of a zero increment, where such increment represents "unsatisfactory performance".
- g) the following cases may be considered individually:
- recommendations for increment unit awards of:
 - 2.4 or greater to an Instructor or Assistant Professor,
 - 2.2 or greater to an Associate Professor or Senior Instructor, and
 - 2.0 or greater to a full Professor;
 - such special cases as the President may stipulate from time to time.
- h) with the exceptions noted in (f) and (g), the responsibility for the review of performance assessments, increment recommendations for individuals at the following ranks / salary ranges, and promotions to the rank of Associate Professor are effectively delegated to the Faculty Promotions Committee (or equivalent) in accordance with the Faculty Guidelines:
- Instructor/Assistant Professor,
Senior Instructor / Associate Professor
Full Professor.
- No documentation is required, except where the General Promotions Committee requests information on individual cases, such as would be contained in the Academic Annual Report of the faculty member, but only for the purpose of reviewing the application of institutional assessment criteria and, if deemed appropriate, directing that revisions be made to the Faculty Guidelines for Increments / Promotions. See Section 3.4.3 of this Manual.
- i) for academic staff (Administrative and Professional), the provisions of (f), (g) and (h) shall apply on the basis of their salary placement in the appropriate Instructor / Professorial salary range at the time of review.
- j) *The Chair or any other member of the General Promotions Committee may at any time raise for consideration and decision by majority vote any matter (other than an individual case) which they feel should be determined to ensure due process and the integrity of the assessment system. [APT 6.5.6]*
- k) *The General Promotions Committee shall consider any written submission from the Faculty Association about the application of process. At its discretion, in deliberating on the Faculty Association's submission, GPC may invite representatives of the Faculty Association and other appropriate individuals to appear before them. [APT 6.5.7]*
- l) the recommendations determined in accordance with the foregoing shall constitute the General Promotions Committee's recommendations to the President.

2.3.4

The General Promotions Committee may from time to time establish regulations or guidelines to be followed by Deans, Faculty Promotion Committees, Heads, etc. in preparing and documenting annual assessments for increments and promotion [APT 6.5.4] (see Sections 5.1 and 6.10).

- 2.3.5 *Cases not expressly covered by existing guidelines or procedures may be determined by the General Promotions Committee so as to ensure fair and equitable treatment consistent with its policies and procedures. [APT 6.5.8]*
- 2.3.6 *The General Promotions Committee may require a Dean to reconvene the Faculty Promotions Committee to reconsider some or all of a set of recommendations to ensure compliance with [APT] Section 6.5.11. [APT 6.5.13]*
- 2.3.7 The Chair shall not cast a vote except to break a tie; however, the Chair shall participate fully in the discussion.

2.4 Quorum

- 2.4.1 *A quorum shall consist of two thirds (2/3) of the members selected under [APT] 6.5.2 (c) and 6.5.2 (d). At least one of the non-voting Faculty Association members shall be present at all GPC meetings. [APT 6.5.3]*
- 6.5.2 (c) refers to "Slate of Seven" and 6.5.2 (d) refers to two GFC representatives elected by the council.

2.5 Zero Increments

- 2.5.1 *Where the performance during the assessment period is deemed to be "unsatisfactory" the administrative officer performing the evaluation shall clearly state this in writing. [APT 6.2.8]*

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

An applicant invited to attend GPC under this provision may be accompanied by (or if unable to attend may be represented by) an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the General Promotions Committee, the applicant shall inform the Chair of the name of the advisor. [APT 6.5.15]

See also Section 6.5.1 concerning the interpretation of a zero increment award as constituting unsatisfactory performance, and Section 6.6 which outlines the serious consequences of sustained unsatisfactory performance.

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

2.6 Promotion to Full Professor

- 2.6.1 *The rank of Professor is reserved for those, who in the opinion of colleagues, within the University and beyond, are outstanding in their discipline. [APT 3.8.1]*
- 2.6.2 *Appointment or promotion to the rank of Professor requires evidence of teaching effectiveness. When the teaching function is assessed, evidence of effective performance respecting graduate programs and the supervision of and involvement with graduate students shall be considered, where appropriate. [APT 3.8.2]*
- 2.6.3 *Appointment or promotion to this highest rank requires documented evidence of an established scholarly and professional reputation supported in writing by three or more eminent referees external to the University. This reputation must be at either the national level, or both the national and international level, as determined by the policy of the relevant Faculty Council. [APT 3.8.3]*
- 2.6.4 *Unless inappropriate, the referees should include eminent Canadian scholars. [APT 3.8.4]*
It is the responsibility of the Dean to assemble these references. See also Sections 6.10.1(a)(i) and 8.4 of this Manual.
- 2.6.5 *A Professor is also expected to have an established record of service contributions to the institution and appropriate discipline, and when relevant, profession. [APT 3.8.5]*
- 2.6.6 *Each Faculty Council is to establish written procedures for the selection of eminent external referees appropriate to the various disciplines or professions and to file them, whenever changed, with the Vice-President (Academic) as Chair of the General Promotions Committee. [APT 3.8.6]*
- 2.6.7 *When the Head or equivalent is preparing a written recommendation in relation to the promotion of an individual to full Professor, the Head or equivalent shall have access to the letters from external referees. [APT 6.2.10]*
- 2.6.8 *The assessment of merit by the General Promotions Committee shall be progressively more rigorous with seniority within the full professorial rank. [APT 6.5.10]*

2.7 Denial of Promotion

- 2.7.1 *In every case where the General Promotions Committee is likely to make a determination that a recommendation for promotion to Associate Professor or to full Professor should be denied, the Chair shall inform the applicant and the Dean, in writing, of the concerns identified by the Committee, including, if appropriate, the substance of adverse comments made by the referees. Members of the General Promotions Committee shall also be given a copy of this document. The applicant and the Dean of the relevant Faculty shall be given one week to respond in writing to the Chair, following which both the applicant and Dean shall be invited to meet with the Committee to discuss the original recommendation, before the Committee determines its recommendation to the President.*

An applicant invited to attend GPC under this provision may be accompanied by (or if unable to attend may be represented by) an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the General Promotions Committee, the applicant shall inform the Chair of the name of the advisor. [APT 6.5.14]

2.8 Implementation of Increments / Promotions

- 2.8.1 *Once the President has made decisions on the recommendations of the General Promotions Committee, individual academic appointees will be informed, in writing, of the increment and promotion recommendations that will be implemented. [APT 6.7.1]*
- 2.8.2 *In every case where the recommendation approved by the President is less favourable to the candidate than the recommendation of the Dean (or equivalent) to the General Promotions Committee, the Chair of General Promotions Committee shall advise the academic appointee, the Dean and the Head in writing of the reasons for such action. [APT 6.7.2]*
- 2.8.3 *In every case where the recommendation approved by the President is one of "unsatisfactory performance" the Dean shall outline the performance deficiencies, in writing, along with a statement of the improvements expected of the academic appointee, as well as the possible consequences of sustained unsatisfactory performance. [APT 6.7.3]*
- 2.8.4 *Promotions usually take effect on July 1. [APT 6.7.4] Salary adjustments, if any, are also normally effective on that date.*

3.0 FACULTY PROMOTIONS COMMITTEES

3.1 Membership

- 3.1.1 *The Faculty Promotions Committee is a Dean's Advisory Committee. The composition of any Faculty Promotions Committee must adhere conditions a) through d) below:*

- a) The composition of the Committee must enable it to retain quorum in all foreseeable cases, e.g. when there is an appeal and all parties to the appeal must absent themselves.*
- b) Student voting members may never outnumber other voting members.*
- c) The number of voting members on the Committee (excluding the Chair or other member who votes only to break a tie) shall not be less than 5, unless 20 or fewer academic staff members are being assessed by the Committee, in which case the number may be 4 or, where approved by the Vice President (Academic) upon request of a Faculty Council for the given year, 3*
- d) Both genders shall be included among the voting academic staff members on the Committee. [APT 6.4.3]*

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

- 3.1.2 *In a departmentalized Faculty, the Faculty Promotions Committee shall be composed of the following members:*
- a) the Dean (Chair, voting only to break a tie);*

- b) *all Department Heads in the Faculty (voting);*
- c) *one member appointed by the Faculty Association (non-voting);*
- d) *one or more members of the Continuing, Contingent Term, or Limited Term academic staff designated by the Dean (non-voting, with role to be determined by the Faculty Council);*
- e) *one or more student members selected by a process determined by the Faculty Council (voting);*
- f) *one or more academic staff members selected through a process determined by the Faculty Council (voting). [APT 6.4.4]*

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

- a) *one member appointed by the Faculty Association (non-voting); and*
- b) *one or more student members selected by a process determined by the Faculty Council (voting). [APT 6.4.5]*

3.1.4 *The Information Resources Promotions Committee, and the Student and Academic Services Promotions Committee are deemed to be equivalent to a Faculty Promotions Committee. [APT 6.4.6]*

3.2 Terms of Reference

3.2.1 *The regular assessment of the performance of all members of a Faculty, except Heads, Assistant Heads, Associate Deans and the Dean, shall be reviewed by a Faculty Promotions Committee or the equivalent. [APT 6.4.1]*

3.2.1.1 *The performance of Heads, Assistant Deans and Associate Deans is reviewed in the first instance according to the regular cycle by the General Promotions Committee. In advance of submitting recommendations to the General Promotions Committee, a Dean may seek the advice of a Faculty Promotions Committee or a peer review process when considering the teaching, research and service performance of a Head, Assistant Dean or Associate Dean. [APT 6.5.9]*

3.2.2 *Recommendations for promotion in rank of academic appointees shall be prepared at the same time as the regular assessment. [APT 6.3.1]*

3.2.3 *All recommendations involving promotion in rank of any academic appointee must be recommended by the Head (Dean) or equivalent to the Faculty Promotions Committee which will make recommendations to the Dean or equivalent who will in turn make recommendations to the General Promotions Committee. This procedure shall include academic appointees holding administrative responsibility whose cases for promotion shall be considered initially by a Faculty Promotions Committee. [APT 6.4.2]*

3.3 Operational Procedures

3.3.1 *The process for a Faculty Promotions Committee shall in all cases include the following:*
[APT 6.4.8]

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

3.3.2 Prior to submission of recommendations to the Faculty Promotions Committee or equivalent, a Head or equivalent may formally seek the advice of a departmental committee. If the Head or equivalent chooses to seek the advice of a departmental committee, procedures shall be established and must be included with the Faculty guidelines and must be provided to the Provost and Vice-President (Academic) for distribution to the General Promotions Committee. The procedures adopted for any such departmental committee must include the following:

- a) They must provide for a consistent process within a department or equivalent. The same process must apply to every case.
- b) They must determine how the membership of the committee is established.
- c) They must specify how the cases of members of the departmental committee will be handled and must ensure that a member of the committee shall not be involved in the discussion of her or his own case.
- d) They must specify the process by which the committee solicits any additional advice. This process may involve conducting interviews, soliciting written comments, a departmental meeting or some other fair process.
- e) Except where a department is composed entirely of one gender, a departmental committee shall include both genders.
- f) In the case of assessment and merit increment recommendation, the Head shall make the annual report and any additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the departmental committee. No other materials shall be circulated to the committee without the consent of the academic staff member, unless the Faculty guidelines specify otherwise.
- g) In the case of promotion, the Head shall make the application for promotion, the curriculum vitae, and any additional materials submitted by the academic staff member available to the committee on a confidential basis for no less than one week prior to the meeting of the departmental committee. No other materials shall be circulated to the committee without the consent of the academic staff member, unless the Faculty guidelines specify otherwise. Under no circumstances shall the Head disclose to the advisory committee the contents of letters solicited from referees: such letters are confidential to the Faculty Promotions Committee.

3.3.3 *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, the advice of the committee shall not be binding on the Head. [APT 6.2.12]*

3.3.4 *All academic appointees shall be informed, in writing, of the nature of the recommendation being carried forward by the Head or equivalent to the appropriate Faculty Promotions Committee or equivalent. [APT 6.2.13]*

3.4 Faculty Guidelines for Increments / Promotions

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

- a) a statement of the relative importance that the Faculty attaches to each of the three functions (teaching, research, service);
- b) a description of how the Faculty interprets the functions, e.g., the various activities that the Faculty defines as legitimate and appropriate forms of expression;
- c) a description of how the Faculty applies external information such as evaluations by students;
- d) a description of the expectations that the Faculty has of an academic appointee's performance in each of the three functions, including the ways in which these expectations change with rank, and with seniority within a given rank;
- e) a statement that recognizes the diversity of career patterns and the implications of such patterns for assessment purposes;
- f) a statement about how academic and professional qualifications are applied in recommendations for appointment, promotion and tenure
- g) a clear indication of:
 - i) how accomplishments in teaching, research, and service are translated into recommendations for tenure;
 - ii) how accomplishments in teaching, research, and service are translated into recommendations for promotion from rank to rank;
 - iii) how outstanding performance is translated into merit increments by the Faculty Promotions Committee;
 - iv) what constitutes unsatisfactory performance;
 - v) how leaves are accounted for in the evaluation of performance for the purposes of tenure, merit assessment, and promotion. [APT 3.5.4]

3.4.2 A copy of the current version of each Faculty's guidelines is to be kept on file with the Chair of the General Promotions Committee, who will make this information available to the GPC members.

- 3.4.3 *The General Promotions Committee may review the Faculty guidelines and, if necessary, direct that appropriate revisions be undertaken at the Faculty level to ensure University-wide equity and conformity with University standards. [APT 3.5.5]*
- 3.5 Quorum**
- The quorum for a Faculty Promotions Committee shall be 51% where, excluding the Dean or other member who votes only to break a tie, the number of voting members is 8 or less. Where the number of voting members is 9 or more, the quorum shall be two-thirds (2/3). The non-voting Faculty Association member shall be present at all meetings of a Faculty Promotions Committee or equivalent. [APT 6.4.9]*
- 4.0 VOTING PROCEDURES FOR PROMOTIONS COMMITTEES**
- 4.1 The following voting procedures shall be used by each committee that considers increment and/or promotion recommendations or appeals.
- 4.1.1 *Each voting member of the committee shall have one vote. Decisions shall be by majority vote (see Definitions, Section 1.2). The Chair shall not cast a vote, except to break a tie. Members may vote on a particular candidate only if they have taken part in the Committee's deliberations on that candidate and on the majority of the comparison group. [APT 6.4.10]*
- 4.1.2 *a) If a Dean (or equivalent) is unable or chooses not to serve as the Chair of the Faculty Promotions Committee for part or all of the Committee's deliberations, the Dean shall appoint any academic staff member on the Faculty Promotions Committee (except the Faculty Association's appointee) to serve as the Chair.*
- b) If the Dean is unable to make such an appointment, the Provost & Vice-President (Academic) shall make the appointment.*
- c) When the Dean does not chair the Committee pursuant to this section, the recommendations of the Faculty Promotions Committee made during the Dean's absence shall be the recommendations submitted to the General Promotions Committee. In the letter to the individual concerned and in the recommendation to the General Promotions Committee it shall be noted that the recommendation was made without the presence of the Dean pursuant to the procedures under this section. [APT 6.4.11]*
- 4.1.3 *Any member of a Promotions Committee who has a consensual relationship with a candidate being considered for promotion or increment, or whose case is being considered as an appeal shall be disqualified from attending the deliberations of the Committee concerning the case and from voting on the question. Individual committee members have a responsibility to declare such a conflict of interest if it exists. [APT 6.4.12]*
- 4.1.4 *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 6.4.13]*
- 5.0 ANNUAL ASSESSMENT OF ACADEMIC STAFF**
- 5.1 Written Evaluation**
- 5.1.1 *The regular assessment of each academic appointee shall normally be prepared by the Head or equivalent as the appropriate administrative officer in the department or unit who is uniquely qualified to assess the impact of the appointee's contributions to the*

appointee's particular field. This senior departmental administrator must act in this area with prudence and after seeking advice from a variety of sources. The Head should explain to the department the principles on which the Head intends to make recommendations and be open to additional suggestions. [APT 6.2.1]

- 5.1.2 *In Faculties or other units without a formal departmental structure, the Dean may elect to either:*
- a) *carry out this responsibility, in which case, the recommendations of the Faculty Promotions Committee shall be the recommendations submitted to the General Promotions Committee; and, a member of the Faculty Promotions Committee, other than the Dean, shall act as Dean for the purposes of the Faculty Promotions Committee and General Promotions Committee procedures, or*
 - b) *delegate this responsibility, within the Faculty or unit, to an appropriate individual such as an Area Chair, a Program Director, an Area Co-ordinator, an Associate Dean or equivalent, or to a committee. [APT 6.2.2]*
- 5.1.3 *The regular assessment of Heads, Assistant Deans, Associate Deans and equivalents shall be prepared by the Dean or equivalent. [APT 6.2.3]*
- 5.1.4 *The regular assessment of an individual academic appointee's performance and recommendations for the award of a merit increment or for promotion in rank shall be prepared in writing. A copy shall be presented to the appointee concerned and an opportunity shall be provided for discussion within the scheduled time period established by the General Promotions Committee. [APT 6.2.4]*
- 5.1.5 *Assessments provide critical information for Promotions Committees. They should be comprehensive statements on performance and should reflect consideration of the performance of the academic appointee in relation to the criteria and descriptions for the appropriate rank (c.f. [APT] Section 3) as well as the carrying out of the responsibilities for teaching, research and service, as appropriate. Assessments should be written so that recommendations presented can be understood without reference to other information or documentation beyond that specifically requested by the General Promotions Committee. [APT 6.2.5]*
- 5.1.6 *Standardized and concise assessment forms that best reflect the nature of activities in the Faculty or unit may be developed by the Faculty or unit within guidelines prepared by the General Promotions Committee. [APT 6.2.6]*
- 5.1.6.1 *While each Faculty may use an assessment form which best reflects the nature of its activities, the following minimum requirements shall be included:*
- name of academic appointee;
 - Department (or equivalent);
 - calendar year under review (reporting period);
 - date of first appointment to the continuing academic staff;
 - current rank / position;
 - increment / promotion recommendation submitted to FPC by the Head or equivalent with their signature;

- increment / promotion recommendation approved by the Faculty Promotions Committee;
- increment / promotion recommendation submitted to the General Promotions Committee by the Dean (and if different from the Faculty Promotions Committee's recommendation, a brief statement of the reasons);
- in cases where the individual is at a rank / salary range ceiling, a clear statement whether the individual's performance during the reporting period was "meritorious", "satisfactory", or "unsatisfactory"; or FPC may choose to provide a shadow increment.

- 5.1.6.2 Heads and equivalent administrative officers charged with the responsibility of preparing written performance assessments should appreciate that this document is critical information for promotions committees. Quantitative data should be included, in a concise format, wherever possible and appropriate. Generalized statements with little or no information content are unacceptable, and such assessments should be rejected by the Dean or equivalent in the first instance.
- 5.1.6.3 The contributions of the individual in teaching, research, scholarship, creative and/or professional activities, and service must be summarized and evaluated. The Department Head or equivalent is uniquely qualified to assess the impact of the staff member's contributions in the particular field.
- 5.1.6.4 Evaluations of teaching should state the basis for the assessment, e.g. student assessments, multi-year teaching dossier, review by senior colleagues, classroom / lab visits by the Department Head, etc. It would be helpful to promotions committees to give an indication of the time commitment to teaching, and the nature and significance of the involvement.
- 5.1.6.5 With respect to scholarly, creative and professional activities, it is particularly important to delineate peer-reviewed publications, juried exhibitions, invitational lectures and performances, nationally and/or internationally recognized innovations in professional practice. Deans are also required to file with the Chair of GPC a statement on how publications are acknowledged in their Faculty, e.g. when they are "in print" and published, or when they are "in press" or "accepted for publication".
- 5.1.6.6 In the evaluation of service contributions, Department Heads should provide information on the time commitment of academic appointees to activities such as service on editorial boards of prestigious journals, on grant selection committees and adjudication panels of national agencies, and similar professional involvement, as well as provide an assessment of the importance of these activities. See also Section 6.7.9 in this Manual.
- 5.1.6.7 For professorial appointees (Assistant, Associate and full Professors) this evaluation shall cover teaching, scholarship and service contributions, and shall address the quality of performance in the context of the rank and years in rank of the individual.
- 5.1.7 The annual assessment period is the calendar year, which coincides with the reporting period covered in the academic appointee's Academic Annual Report to the President.
- 5.1.8 *It is the responsibility of the administrative officer writing an assessment to ensure that the academic appointee's performance in the teaching and supervision of graduate students also be included, following such appropriate consultations with the Faculty of Graduate Studies as may be necessary. [APT 6.2.7]*
- 5.1.9 *The review of the performance of a Head, Area Chair, Program Director, Associate Dean, Assistant Dean, or any academic appointee (Teaching and Research) holding an administrative office shall be based on the general categories of performance as outlined*

in [APT] Section 3, with expectations adjusted to take into account the special duties and the fractional time commitment to administration associated with these positions. [APT 6.2.14]

- 5.1.9.1 *Notwithstanding the payment of administrative honoraria, the administrative role and the quality of academic administration and leadership provided shall be taken into account when considering the overall performance. [APT 6.2.15]*
- 5.1.10 Appointees in the Instructor category shall be evaluated in the context of the relevant job description for each position, bearing in mind the rank and years in rank of the individual.
- 5.1.11 Academic appointees (Administrative and Professional) shall be evaluated in the context of the relevant job description for each position, bearing in mind the rank and salary level of the individual.
- 5.1.12 *The requirements and expectations for part-time appointments shall be proportionately the same as those described in the Faculty guidelines for full-time Continuing appointments provided for by [APT] Section 3.5.4. [APT 2.2.6]*
- 5.1.13 In every case where the performance during the assessment period is deemed to be "unsatisfactory" (see Section 6.5.1) the administrative officer performing the evaluation shall clearly state this in writing, and shall outline the performance deficiencies and the improvements expected, as well as the possible consequences of sustained unsatisfactory performance (see Section 6.6).
- 5.1.14 *It is the particular duty of the Dean, or Head or equivalent to notify an academic appointee if the award of a zero increment for unsatisfactory performance is being recommended to the Faculty Promotions Committee. The Vice-President (Academic) shall also be notified in writing before the meeting of the Faculty Promotions Committee. [APT 6.2.16]*
- 5.1.14.1 *When, based on its normal deliberations, a Faculty Promotions Committee is seriously considering recommending an increment of zero to an academic appointee whose Head or equivalent did not recommend zero, it must notify the appointee in writing and give reasons. The Faculty Promotions Committee must give the appointee the opportunity to respond in writing, or by appearing before the Faculty Promotions Committee, or both, at the appointee's discretion. The appointee must be given at least one week to respond. If the appointee appears before the Faculty Promotions Committee, the Faculty Promotions Committee shall provide the appointee with the opportunity to make a presentation, and may ask the appointee questions. The appointee may be accompanied by an advisor, following the same rules as in [APT] 6.6.4.10. [APT 6.4.16]*

This regulation is interpreted to apply only in cases where the zero increment recommendation reflects unsatisfactory performance, and not where a rank salary ceiling is in effect and the individual is not recommended for promotion because of the failure to meet one or more promotional criteria. Where the performance of an individual at a rank ceiling is assessed as being unsatisfactory the above procedure shall also be followed.
- 5.1.15 Except as noted in GPC 5.1.2 and 4.1.2, *the Dean or equivalent may modify the recommendation of a Faculty Promotions Committee or equivalent before submitting it to the General Promotions Committee. [APT 6.4.18]*
- 5.1.16 *If the Dean modifies the recommendation of the Faculty Promotions Committee, the Dean shall so advise the General Promotions Committee and the academic appointee in writing, giving the reasons for such action. The Dean shall also advise the members of the Faculty Promotions Committee and the person who wrote the original assessment (if not a member of the Faculty Promotions Committee) that the modification has been made, and shall make the material referred to above available to them. [APT 6.4.19]*

5.1.17 *The Chair of the Faculty Promotions Committee shall provide written notice to each academic staff member of the recommendation being forwarded to the General Promotions Committee. [APT 6.4.20]*

5.1.18 The primary responsibility of the Department Head (or equivalent) in initiating increment and promotion recommendations was explicitly recognized in the following statement in the 'Report of the Committee on Appointment, Authority and Responsibility of Department Heads', which was approved by GFC:

"Although various officially constituted University and faculty committees advise Deans and the President on these matters, recommendations made by the senior departmental administrator tend to be prepotent. Because of this and because financial and status issues can easily cause discord, the senior departmental administrator must act in this area with prudence and after seeking advice from a variety of sources.

The senior departmental administrator should explain to the department the principles on which s/he intends to make his/her recommendations and be open to additional suggestions. In large departments, at least, the Committee considers that an advisory group for these matters should be established. Further, the Committee cannot overemphasize the importance of obtaining assessments from students as part of the evidence on effectiveness of teaching. Improvement in the teaching functions of the University will be most easily achieved through a recognition that these can result in rewards and sanctions."

5.2 Increments for Faculty Association Officers Granted Release Time

5.2.1 Officers for whom release time is purchased shall be awarded a 1.2 merit increment with respect to the time released for service to the Association. This merit increment shall be prorated in accordance with the fraction of time released for service to the Association, and shall not be funded from the merit increment pool of the officer's Faculty. For the portion of time not released for service to the Association, the normal assessment and merit increment processes will apply. [*Collective Agreement 10.11.10*]

5.2.2 In assessments of members' performance, service to the Association shall be considered as Service within the meaning of Section 3.4 of the *Procedures Pertaining to Appointment, Promotion, and Tenure of Academic Staff*. [*Collective Agreement 10.12*]

5.3 Appeals

5.3.1 The Department Head's assessment and/or increment recommendation, as well as the denial of promotion to a higher rank, may be appealed to the appropriate Faculty Promotions Committee or equivalent. See also Section 9 of this Manual.

6.0 ASSESSMENT PROCEDURES AND CRITERIA

6.1 Application

The following assessment procedures and criteria apply *mutatis mutandis* to the General Promotions Committee, Faculty Promotions Committees, Deans, Heads, and other individuals involved in the process of determining increment and promotions recommendations for academic staff.

6.2 Increment Pool

6.2.1 The General Promotions Committee, the Deans, and through them the Faculty Promotions Committees will be advised annually of the parameters and guidelines associated with the increment pool established by the Board of Governors. The normal procedure has been to establish a University-wide increment pool on the basis of 1.0 increment unit per eligible FTE academic appointee (excluding those increment units required for the promotion of academic appointee from the ceiling of the Associate Professor rank, which are provided beyond the above formula), and to sub-divide this pool into Faculty pools, and the equivalent, on the same basis. The dollar value of increment units is determined through collective bargaining between the Faculty Association and the Board of Governors.

6.2.2 The Board of Governors has established the following standing guidelines governing the merit increment pool (Meeting #10, 1983-02-17):

"That, for the purpose of conducting merit assessments of academic staff for increments to be effective July 1, 1983, the Board of Governors, on the recommendation of the Compensation Committee¹, establish the following guidelines:

- 1) Separate merit increment pools be established and assigned to each unit on the basis of 1.0 increment per eligible FTE academic staff member (excluding those appointees currently at the ceiling of the rank of Associate Professor). For Associate Professors within 1.0 increment unit of the salary ceiling for that rank, the appropriate fractional increment unit will be provided. *
- 2) Merit increment recommendations from each unit shall not exceed the allotment established in (1) above, except as provided for below.
- 3) Merit increments for the promotion of any academic staff member currently at the ceiling or within 1.0 increment unit of the ceiling of the rank of Associate Professor shall be in addition to those established in (1) above.
- 4) Each unit may be allotted, in the discretion of the Chair of the General Promotions Committee, up to one additional merit increment which may be awarded in whole or in part to academic staff member(s) at any rank.
- 5) The above guidelines be established as standing guidelines until such time as they are amended or revoked by the Board of Governors."

* On May 11, 2004, the BG Executive Committee, acting with the delegated authority of the Board of Governors, increased the University-wide Increment Pool, commencing with the 2004 assessment year, from 1.0 increment unit per eligible FTE academic appointee to 1.2 increment per eligible FTE academic appointee, with increments to be implemented effective July 1, 2005.

6.2.3 Notwithstanding the provisions of Section 6.2.2, for faculty members who commenced employment in the period October 1 to December 31, the merit increment assigned shall be (a non-punitive) zero.

Deans may request from the Chair of General Promotions Committee, that an increment or portion thereof be included in the Faculty pool for these individuals. Special circumstances must be presented to the Chair, GPC within two weeks of receipt of the increment pools. If approved, these individuals would then be assessed through the normal FPC / GPC process.

¹ Now renamed, as the Personnel Policy Committee.

6.3 Leaves Without Pay

Notwithstanding the provisions of Section 6.2.2, the merit increment unit assigned for academic appointees on unpaid leaves of absence for any part or all of the assessment period shall be prorated to reflect the period the individual is not on leave without pay. The adjustment shall be prorated to the nearest quarter.

6.4 Size of Increments

6.4.1 Heads' and Deans' recommendations for the award of increments shall either be 0.0, or in multiples of one-fifth commencing at 0.4, e.g. 0.4, 0.6, 0.8, 1.0, etc., except where the recommendation is to bring an academic staff member's salary to the floor or ceiling of a rank or when pro-ratio occurs.

6.4.2 The GPC will not adjust any increment recommendation by less than 0.4, except to bring a staff member's salary to the floor or ceiling of a rank, or bring the recommended increment to the CPA (currently 0.4), or to bring it to the earlier recommendation of the Head or the Faculty Promotions Committee, or to adjust the recommendation of a Dean in the case of an academic appointee whose case is reviewed in the first instance by the GPC or individual cases reviewed in accordance with section 6.10.1.iiid.

6.5 Interpretation of Increments

6.5.1 The award of increments shall be interpreted in the context of the following:

<i>Increment Unit</i>	<i>Performance Assessment</i>
0.0	Unsatisfactory
0.4	Satisfactory Career Progress (CPA)
above 0.4	Meritorious

with the understanding that where an academic appointee's salary is at the ceiling for a rank, a zero increment award may be due to the individual's failure to meet one or more promotion criteria rather than unsatisfactory performance. In such cases every assessment shall indicate whether the individual's performance was meritorious, satisfactory, or unsatisfactory or provide a shadow increment; and give the basis for that assessment. See also Section 3.4.1(f)(iv) of this Manual concerning Faculty Guidelines regarding unsatisfactory performance.

6.6 Dismissal for Good and Sufficient Cause

6.6.1 *In any case where a member of the academic staff who, though entitled to receive increments, is awarded two zero increments in succession by the President on the advice of the General Promotions Committee, the Dean of the Faculty concerned (if the second zero increment was initially recommended by a Faculty Promotions Committee) or the Provost & Vice-President (Academic) (if the second zero increment was initially recommended by the General Promotions Committee) shall, unless cause can be shown to the President why such action should not be pursued, formulate in writing grounds for dismissal for good and sufficient reason. [APT 7.3.1] See also Section 2.5 of this Manual.*

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

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

6.7 Criteria for Evaluation

- 6.7.1 Only the following criteria shall be employed in consideration of increments and promotions. There are no automatic increments, as the Career Progress Adjustment (CPA) must also be justified on the basis of performance. See Definitions, Section 1.2.
- 6.7.2 Three major criteria arise from the stated functions of the University: Teaching, Research and Service. There is an expectation that all academic appointees shall engage in these activities, except where the criteria of a rank exempts one or more of these functions.
- 6.7.3 *Colleagueship should be considered to the degree that it can be shown to have affected the teaching, research or service of the individual, colleagues or the unit. [APT 3.5.1]*
- 6.7.4 *It is recognized that the nature of teaching, research and service and the proportional distribution of expectations among the three functions shall vary from Faculty to Faculty. [APT 3.5.2]*
- 6.7.5 *There shall be generally consistent application of these expectations throughout each Faculty. [APT 3.5.3]*
- 6.7.6 For academic staff members in the professorial stream, the relative contributions in the areas of teaching, research and service may vary within limits acceptable to a Faculty Promotions Committee and the General Promotions Committee, but special emphasis shall be placed on teaching performance at both the undergraduate and graduate level. Notwithstanding this emphasis on teaching, in no case shall promotion to the rank of Professor be recommended where the individual has not clearly established a national or international reputation on the basis of scholarship, research, or equivalent creative activity or professional contributions to a discipline or field.
- 6.7.7 *Teaching is a major University function. It is recognized that teaching or instruction takes place in various contexts appropriate to the disciplines in each Faculty including the classroom, lectures, seminar discussion, clinical supervision, laboratory supervision, tutorials, graduate supervision, field supervision, practicum supervision, distance education, collaborative teaching with associated institutions, the advising of students, etc. [APT 3.2.1]*
- 6.7.7.1 *Teaching performance and effectiveness shall be evaluated on a regular basis. Such evaluation should consider all ways a teacher addresses the responsibility and interacts with students. In addition to interactions in the contexts noted in [APT] Section 3.2.1, evaluation of teaching should consider the extent of innovation, preparation, reflection of current knowledge, level of interest, direction, and encouragement demonstrated by the academic appointee. Participation in teaching development programs, and/or seeking expert help in the improvement of teaching, will be viewed as an indication of commitment to teaching. [APT 3.2.2]*
- 6.7.7.2 *Although the evaluation of teaching may not be based solely on evaluations by students, such evaluations are one factor on which the evaluation of teaching shall be based. Student evaluations shall be required for all academic appointees (Teaching and Research) on a regular basis. [APT 3.2.3]*

- 6.7.7.3 *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. [APT 3.2.4]*
- 6.7.7.4 *The University also recognizes the legitimate role of academics as 'knowledge brokers' in transferring state-of-the-art knowledge to persons in government, business, industry, the professions and the wider community through the organization and presentation of seminars, workshops, and short courses for persons outside programs leading to degrees. [APT 3.2.5]*
- 6.7.7.5 *The development, testing, and application of computer-assisted learning techniques and software shall be deemed to be innovative teaching when the techniques or software have been successfully integrated into the teaching of University course offerings and the usefulness of the activity has been acknowledged by informed peers in a manner similar to the peer review of materials submitted for publication. [APT 3.2.6]*
- 6.7.8 *Research, scholarship, and other creative activities constitute a major University function. The primary concern of the individual and the University shall be the importance of high-quality work. [APT 3.3.1]*
- 6.7.8.1 *These research activities shall be evaluated on a regular basis and shall normally be measured by the quality and pattern of the academic appointee's work, through media and outlets appropriate to each discipline for communication with peers. [APT 3.3.2]*
- 6.7.8.2 *Research normally shall bear evidence of formal review by informed peers from the appropriate disciplinary or interdisciplinary community within and beyond the University prior to or as a result of presentation, publication, distribution, or exhibition. [APT 3.3.3]*
- 6.7.8.3 *All research, scholarship, and other creative activities shall be assessed on the merits of the work, regardless of the form in which they appear. Electronic publications – whether books, articles, journals, or databases – shall be considered equivalent to more traditional forms of publication if they are subjected to the same rigor of informed peer review or appropriate refereeing.*
- 6.7.8.4 *It may be particularly important for Heads and/or Deans to engage in post-publication review to assess value and impact, where traditional peer review is not appropriate or applicable.*
- 6.7.8.5 *In those Faculties that prepare students for professional practice, contributions to the discipline of that profession shall be deemed relevant to satisfying the research requirement provided that they are of high quality and are acknowledged contributions to the field, that they flow primarily from research, and that they have been subject to an informed peer review process and enhance the professional reputation of the individual and the University. [APT 3.3.4]*
- 6.7.8.6 *The development of software and the creation of data bases or the creation or entry of information into data bases or contributions to program libraries shall normally be considered equivalent to research publication only if the results have been subjected to informed peer review or appropriate refereeing. [APT 3.3.5]*
- 6.7.9 *Since the University is a community of scholars, largely responsible for its own governance, it is expected that each academic appointee shall make contributions in the area of service. Service shall be measured by the academic appointee's record of active participation in academic governance and development in matters relevant to the progress and welfare of the department or unit, the Faculty, and the institution. [APT 3.4.1]*

- 6.7.9.1 *Service may also be measured by informed assessment of evidence of substantial contributions to activities such as service on editorial boards of disciplinary or interdisciplinary journals, on grant selection committees and adjudication panels of provincial, regional or national agencies, and similar professional involvement. [APT 3.4.2]*
- 6.7.9.2 *Service may also be measured by substantial contributions to the general or professional community, the Province, and the Nation through the application of scholarly or professional knowledge and expertise. [APT 3.4.3]*
- 6.7.9.3 *Other service to the community that flows from the discipline or that accrues through other distinguished service to the University or the community may be acknowledged when it brings distinction to the University. [APT 3.4.4]*
- 6.7.9.4 *Appropriate levels of service shall be expected of each rank. Nevertheless for individuals whose duties include teaching and research, the normal expectations for teaching and research cannot be fulfilled by service activity in the absence of written agreements with the Dean. Meeting the expectation of service should normally require a smaller portion of effort than is required for the functions of Teaching and Research. [APT 3.4.5]*
- 6.7.9.5 *Outside Professional Activity for remuneration shall not normally be counted as service for the purposes of assessment. [APT 3.4.6]*
- 6.7.10 *Appointment to the rank of Assistant Professor normally requires evidence of successful teaching ability or professional experience, with evidence of appropriate research or professional activity beyond that involved in the completion of academic or professional training. [APT 3.6.1]*
- 6.7.11 *Appointment or promotion to the rank of Associate Professor requires evidence of teaching effectiveness, recognized research attainment or equivalent professional attainment and a satisfactory record of service. [APT 3.7.1]*
- 6.7.11.1 *When the teaching function is assessed, evidence of effective performance respecting graduate programs and the supervision of and involvement with graduate students shall be considered, where appropriate. [APT 3.7.2]*
- 6.7.12 *The rank of Professor is reserved for those who, in the opinion of colleagues, within the University and beyond, are outstanding in their discipline. [APT 3.8.1]*
- 6.7.12.1 *Appointment or promotion to the rank of Professor requires evidence of teaching effectiveness. When the teaching function is assessed, evidence of effective performance respecting graduate programs and the supervision of and involvement with graduate students shall be considered, where appropriate. [APT 3.8.2]*
- 6.7.12.2 *Appointment or promotion to this highest rank requires documented evidence of an established scholarly and professional reputation supported in writing by three or more eminent referees external to the University. This reputation must be at either the national level, or both the national and international level, as determined by the policy of the relevant Faculty Council. [APT 3.8.3]*
- The determination of increments at the professorial rank reflects exceptional performance based on the criteria for that rank. Special documentation is required for those being recommended for promotion to full Professor. See Section 6.10.1(a) of this Manual.*
- 6.7.12.3 *A recommendation regarding the promotion of an individual to Full Professor shall be supported by external references as outlined in [APT] Section 3.8. [APT 6.3.4] See section 2.6 of this Manual.*

- 6.7.13 The performance of staff holding appointments as Instructor, Senior Instructor or Lecturer shall be evaluated on the basis of the individual's performance of assigned duties.
- 6.7.14 *Criteria respecting the appointment, promotion, and performance assessment of Academic Staff (Administrative and Professional) are to be determined in accordance with the particular duties and responsibilities of the position or rank. [APT 3.15.1]*
- 6.7.15 As an individual progresses through a rank the normal expectation of performance rises.
- 6.7.16 Except where otherwise provided, decisions on increments to be effective July 1 are normally based on the individual's accomplishments in the immediately preceding calendar year.
- An increment recommendation may be made for an academic appointee who was an employee of the University for only a part of the normal assessment period. It is recognized that in such cases the rendering of a comprehensive assessment may be difficult; however, as in all other cases, the Dean must be prepared to justify the increment being recommended.
- Note: Persons appointed in the 6-month period immediately following the assessment period may, in special circumstances, be eligible for increment consideration -- such cases, however, will be dealt with by the President on recommendation by the Dean submitted through the Vice-President (Academic). Such an increment award will be taken into consideration in determining the subsequent increment award based on the assessment of performance during that entire calendar year.
- 6.7.17 Persons from within the University who are appointed to new positions within the University are treated in the same manner as new appointments to the University for purposes of promotion and the award of increments.
- 6.7.18 Anyone responsible for making recommendations should remain mindful of the definite time intervals outlined in Section 8.0 of this Manual as he/she prepares written evaluations.

6.8 Outside Professional Activity

- 6.8.1 The University's regulations concerning "Outside Professional Activity" include the following [*Collective Agreement* Articles 13.1, 13.2, 13.3 and 13.5]:
- 6.8.1.1 "*Outside Professional Activity* (O.P.A.) refers to those activities which the academic staff member performs as a community service unless otherwise contractually arranged with the Governors or those for which the academic staff member may receive remuneration. O.P.A. is normally restricted to activities associated with the academic staff member's major academic interests as an employee of the University of Calgary.
- 6.8.1.2 The Governors acknowledge the importance of O.P.A. to the professional development of academic staff members and to the exercise of their University responsibilities. In recognition that O.P.A. offers valuable opportunities to enrich teaching and research, and to share the knowledge, skills, know-how and other resources of the institution with the community at large, the Governors encourage the involvement of academic staff members in O.P.A.
- 6.8.1.3 O.P.A. must not detract from or interfere with the staff member's ability to render full service to the University in other areas of responsibility. Responsibility for ensuring compliance with this requirement rests with the Dean of the Faculty concerned.

- 6.8.2 An academic staff member shall disclose in advance to the Dean or Department Head if delegated, all proposed major O.P.A. The academic staff member shall further disclose annually a record of all O.P.A. including a specific accounting of the time commitment as may be stipulated under Faculty guidelines.

No academic staff member shall be required to violate ethical requirements of the member's profession or such legal constraints as may apply including the disclosure of the names of clients except as required pursuant to [Collective Agreement] Clauses 13.7 and 13.7.1.

The academic staff member may, in the member's discretion, include the annual O.P.A. report in the Academic Annual Report to the President which is required under GPC procedures."

- 6.8.3 *In evaluating academic appointees for increments and promotion, Heads, Deans and Promotions Committees shall restrict their assessment to the teaching, research and service contributions of the individual appointee, recognizing that O.P.A. shall be considered in determining career advancement to the extent that this activity demonstrably contributes to the fulfilment of the academic appointee's obligations to the University and to the enhancement of the stature of the University. [APT 6.2.9]*

6.9 Information and Committee Procedures

The following regulations shall govern the preparation, record, and admissibility of information for promotion committees. The University's policy with respect to confidentiality and access to personnel files ensures that the individual academic appointee may review the material in their file (except for confidential letters solicited on that basis). See Appendix A, *APT Manual*.

- 6.9.1 *A file shall be kept of all information received and considered by each Promotion Committee, and a record shall be maintained for two years of all decisions reached by each committee. [APT 6.4.23]*
- 6.9.2 *Every Continuing, Contingent Term, and Limited Term academic appointee shall regularly submit a report on the appointee's activities to the President. This report shall be in a form prescribed by the President and shall cover a reporting period established by the General Promotions Committee. This report shall be central to the assessment and review process. [APT 6.1.5]*
- 6.9.2.1 *The absence of this Report shall normally result in a zero increment award. Such a zero increment award shall normally be considered to be unsatisfactory performance. [APT 6.1.5.1]*
- 6.9.3 Academic appointees who have been granted a Sabbatical Fellowship, a Professional Fellowship, an Assisted Study Leave or any other form of paid leave are similarly required to report annually to the President, in accordance with the preceding Section.
- 6.9.4 *It is the responsibility of the academic appointee to submit an application to the Dean to be considered for promotion to full Professor. Such application is to be accompanied by a current curriculum vitae. [APT 6.3.3]*
- 6.9.5 *Heads and Deans have a responsibility to review regularly the career prospects of their academic appointees to ensure that applications for promotion, particularly to full Professor, are submitted at the appropriate time. [APT 6.3.2]*
- 6.9.5.1 Faculty Guidelines should clearly describe how Adjunct/Clinical, or other prior University of Calgary service will be considered for future promotions.

- 6.9.6 *When considering a candidate for promotion, the Promotions Committee shall use information and documentation concerning the candidate's teaching, research and service, including, for example, the candidate's qualifications, testimonials, publications, class materials, and signed reports by peers who have seen the candidate teach or perform professional duties. [APT 6.3.5]*
- 6.9.7 *As far as is possible, such information and documentation shall be collected by the candidate. It is the responsibility of the Promotions Committee Chair to gather confidential material such as letters of reference from external referees. It is the responsibility of the Promotions Committee Chair to provide the Head or equivalent with the external referees' letters in a timely fashion. [APT 6.3.7]*
- 6.9.8 *Student submissions are admissible if they are written expressions, prepared by individual students and signed, that give justification for their view. [APT 6.3.8]*
- 6.9.9 *No anonymous material shall be introduced or considered with the exception of results of class surveys conducted under the auspices of the Department, Faculty, or General Faculties Council. [APT 6.3.9]*
- 6.9.10 *An academic appointee is entitled to introduce only written information to each Committee which considers the appointee's case. [APT 6.4.14]*
- 6.9.11 *The Chair and members of Promotion Committees or Head's advisory committees are entitled to introduce only written information to each committee which reviews their decisions. [APT 6.4.15]*
- 6.9.12 *If errors of omission or of procedures are found in the proceedings of a Faculty Promotions Committee, that committee shall be so advised so that it may have an opportunity to respond. [APT 6.4.21]*
- 6.9.13 *For promotion to Associate Professor and to full Professor, Promotion Committees shall consider the complete career record of the academic appointee at The University of Calgary and elsewhere. [APT 6.3.6]*
- 6.9.14 *The General Promotions Committee may specify additional documentation requirements to be submitted to a Faculty Promotions Committee for specific categories of merit consideration or promotion. [APT 6.4.22]*
- 6.9.15 *The Chair of the Faculty Promotions Committee shall provide written notice to each academic staff member of the recommendation being forwarded to the General Promotions Committee. [APT 6.4.20]*

6.10 Documentation

6.10.1 Special documentation is required in the following cases:

a) for promotion from Associate to full Professor

i) references:

- documented evidence is required of national or international reputation, supported by eminent external referees. Deans, when seeking references, should state in detail the criteria applicable at this University for promotion to this rank,

- the minimum number of referees required is three and unless inappropriate the referees for promotion to professor should include eminent Canadians,²
- inasmuch as scholarship is a criterion for promotion to full Professor, the Dean must ensure that the candidate's scholarly output is known or is made available to the external referees for assessment,
- the procedures for selecting referees is in the discretion of the Dean, who shall take into consideration suggestions of the Department Head (or equivalent) and the candidate. However, no more than one of the external referees selected by the Dean can be drawn from the candidate's suggestions, and the Dean must identify this referee for GPC. Deans are required to provide in writing to the Chair of the GPC an outline of the procedures followed in their Faculty. In submitting the assessments of external referees, it is the responsibility of Heads / Deans to ensure that any previous or present known relationship between the candidate and the referee is identified, e.g. a previous professor / student relationship, research collaboration, formerly colleagues in the same Department, etc.
- in cases where a recommendation for promotion to full Professor has been denied at the FPC and/or the GPC level, the documentation for similar recommendations in subsequent years shall include new letters from external referees, plus all letters of reference received in connection with the case for promotion in the preceding two years.

ii) other documentation:

- a letter of application, normally not to exceed three pages,
- a curriculum vitae,
- a case for promotion to full Professor must be supported in writing by the Dean of the Faculty concerned, after the Dean has considered the advice of the FPC,
- report of FPC votes regarding the promotion (i.e. number for, against, and abstentions in each case),
- the documentation must include an assessment by the Department Head of the appropriateness of the academic appointee's candidacy for promotion, a copy of which must be provided to the academic appointee.

The assessment must deal with the candidate's contributions in the areas of teaching, scholarship and service. Under teaching, the candidate's performance with respect to graduate programs and the supervision of, and involvement with, graduate students shall be included.

While the assessment required of a Department Head related to a staff member's promotion to Professor is to be the Head's own evaluation of the candidate, Heads may seek input from Graduate Studies regarding the candidate's performance with respect to graduate programs. If a statement is requested, it shall be included in the dossier for FPC and GPC, and the Dean of Graduate Studies shall send a copy to the candidate.

² If problems are encountered regarding the requirement for three referees, the Dean should contact the Chair, GPC.

- the increment history at The University of Calgary (from the date of initial appointment or for five years whichever is the lesser) of the candidate for promotion is to be provided.
- b) for appeal cases to be considered by GPC
- i) the academic staff member's letter of appeal
 - ii) copy of current Academic Annual Report
 - iii) Head of Department's annual assessment
 - iv) in cases where the staff member has appealed in the first instance to a FPC, such other documentation as was considered by the FPC in making its decision on the appeal; and report of FPC votes regarding the appeal (i.e. number for, against, and abstentions in each case).
- c) for the award of a zero increment, where such increment represents "unsatisfactory" performance
- i) the Department Head's assessment
 - ii) copy of the individual's current Academic Annual Report
 - iii) his/her increment history (from the date of initial appointment or for five years, whichever is the lesser).
 - in certain circumstances where the intention is to dismiss for cause, the GPC may seek evidence of actions taken to alter performance.
- d) for increment unit awards of:
- 2.4 or greater to an Instructor or Assistant Professor,
 - 2.2 or greater to an Associate Professor or Senior Instructor,
 - 2.0 or greater to a full Professor;
- e) for academic appointees (Administrative and Professional), the requirements of (d) shall apply on the basis of their salary placement in the appropriate Instructor / Professorial salary range;
- f) such special cases as the President may stipulate from time to time.

For (d) through (f) inclusive, the documentation required is a copy of the Head (or equivalent)'s assessment form (see Section 5.1.1), current Academic Annual Report, and the Dean's justification (only required where the Dean's recommendation to GPC differs from the recommendation of the Faculty Promotions Committee).

- g) for academic appointees whose cases are reviewed in the first instance by GPC
- i) a copy of the individual's current Academic Annual Report
 - ii) the Dean's (or equivalent) annual assessment form, including administrative title, release time for administration, size of department / unit, list of other administrators

in department / unit, and job profile.

- h) summary of FPC appeals – total number of appeals with the number granted, number denied, and analyzed by gender.

6.10.2 *The Chair of General Promotions Committee shall not distribute to General Promotions Committee members any written information pertaining to any individual case which is received from sources other than the Chair of a Faculty Promotions Committee or equivalent, the only exception being the appeal documentation submitted by academic appointees. [APT 6.4.17]*

7.0 LEAVES OF ABSENCE

7.1 "Leave does not entail any loss of rank or appointment status". *[Collective Agreement 18.1.11]*

7.2 Academic staff members on paid leaves of absence are eligible to be considered for merit increases and promotions in accordance with procedures adopted by the General Promotions Committee.

7.3 Individuals on paid leaves of absence during the normal assessment period shall be evaluated with respect to the period of leave, on the basis of the activities set out in the approved leave application; and with respect to periods before or after the leave, on the normal criteria. For example, if teaching activities are not expected as part of the leave, the individual should not be penalized for not teaching. Nonetheless, if teaching or other relevant activities occur in addition to the proposed leave activities, then these activities should be reported and evaluated.

7.3.1 It is the intent that an individual who is on maternity or sick leave shall not be penalized for interruption in academic productivity during the period of absence. Productivity while on leave is to be included in the staff member's assessment.

7.3.1.1 Increments will be assigned notionally for the overall (Teaching, Research & Service) assessment on an annual basis, and shall be prorated for the entire year (taking into account the period of leave) according to the following example:

If a staff member's total contributions were assessed as 0.8 for the entire year, but were actually accomplished in 9 months, the prorated increment would be 1.0 (0.8 divided by .75 = 1.06 rounded)

7.3.1.2 Individuals must be on approved sick leave for a minimum of 30 days in order for this proration to be applicable.

7.4 Individuals on unpaid leaves of absence for the entire assessment period will not be subject to assessment nor eligible for merit increments.

7.4.1 A notation will be placed on the individual's record to clearly show the zero increment as "no entitlement" to distinguish it from a zero increment for other reasons.

7.5. Individuals on unpaid leaves of absence for a portion of the assessment period shall be assessed and eligible for merit increments for the period not on leave without pay.

8.0 MEETINGS AND TIME SCHEDULE

8.1 The General Promotions Committee will normally meet in October to review and finalize its procedures with respect to increments / promotions to be effective July 1 in the next

calendar year. Any revisions to the *GPC Manual* will normally be issued to Deans, Heads and equivalent administrative officers before the end of the calendar year.

- 8.2 *The General Promotions Committee shall also establish its own procedures and schedules and shall publish them for the information of all academic appointees well in advance of the closing date for submission of appointees' reports to the President. [APT 6.5.5]*
The GPC schedule will include:

- date by which Faculty Promotions Committees must have concluded their meeting(s);
- date by which Deans must submit their recommendations to the Chair of the General Promotion Committee;
- date by which appeals to General Promotions Committee must be filed;
- dates of the final General Promotions Committee review meetings to conclude annual cycle of activities (late April – early May).

- 8.3 Other meetings of the General Promotions Committee as are deemed necessary or desirable may be held at any time of the year.

- 8.4 Where external references are required, as for promotion from Associate to full Professor, the process of documentation may be very time-consuming and must be started early. Deans are advised to contact Departments in the fall with a view to initiating, as soon as possible, the assembly of the appropriate documentation, particularly the statements from external referees. Incomplete documentation for promotion to full Professor shall not be entertained by the General Promotions Committee. Consideration of such cases may not normally be deferred beyond the last day of GPC's scheduled spring deliberations.

- 8.5 The General Promotions Committee shall normally conduct its annual cycle of proceedings so as to convey its recommendations to the President by May 31 (re: increments / promotions to become effective the July 1 following).

9.0 **APPEALS**

It is the responsibility of the Dean or equivalent to establish timeline for receipt of appeals, and to ensure that all academic appointees are made aware of the procedures and deadlines for filing appeals to the various Promotions Committees. [APT 6.6.1]

9.1 **Academic Appointees Whose Cases are Reviewed by a Faculty Promotions Committee or Equivalent**

- 9.1.1 *A copy of the Head's written evaluation of an academic appointee which is being carried forward to the Faculty Promotions Committee shall be provided by the Head to the appointee concerned at least one week prior to the deadline for receipt of appeals by the Faculty Promotions Committee. [APT 6.6.4.1]*
- 9.1.2 *Any academic appointee (Teaching and Research) may appeal an assessment or an increment recommendation or a denial of promotion to a higher rank. Such an appeal and the grounds thereof shall be in writing to the Chair of the appropriate Faculty Promotions Committee, who shall circulate it to all committee members and to the Head (or equivalent) [APT 6.6.4.2]*
- 9.1.3 *In order to avoid conflicts of interest, a member of FPC who is appealing his/her own merit increment, must submit the appeal prior to accessing any FPC files. [APT 6.6.4.3]*
- 9.1.4 *The appeal should contain pertinent information related to the appointee's self-assessment*

of the teaching, research and service contributions for the period under consideration. [APT 6.6.4.4]

- 9.1.5 *The procedures for appeals by academic appointees (Teaching and Research) to a Faculty Promotions Committee outlined above shall apply to academic appointees (Administrative and Professional). [APT 6.6.5.1]*
 - 9.1.5.1 *Appeals shall be directed to the Chair of the Information Resources Promotions Committee, Student Services Promotions Committee or the Administrative and Professional Staff Promotions Committee, as appropriate. [APT 6.6.5.2]*
 - 9.1.6 *When an appeal is being considered, the Chair of the Faculty Promotions Committee shall invite the appellant and the appellant's Head to be present together to provide any clarification of factual information which members of the Faculty Promotions Committee may request. The appellant and the appellant's Head shall not be present when the Committee deliberates and votes on the appeal. [APT 6.6.4.5]*
 - 9.1.7 *Every academic appointee shall be informed in writing at least one week before the deadline for receipt of appeals by the General Promotions Committee of the recommendations being carried forward to General Promotions Committee by the appropriate Dean or equivalent, particularly if the award of a zero increment is being recommended. [APT 6.6.6.1]*
 - 9.1.8 *If the Dean's recommendation to General Promotions Committee is less favourable to the candidate than the Head's recommendation, reasons shall be given in writing. [APT 6.6.4.7]*
 - 9.1.9 *In cases where an appeal to the Faculty Promotions Committee is denied, the Dean shall advise the academic appointee in writing, giving substantive reasons for the denial of the appeal. [APT 6.6.4.8]*
 - 9.1.9.1 *Where an appeal to the Faculty Promotions Committee is denied, an academic appointee may initiate a formal appeal regarding the recommendation to the General Promotions Committee. The appeal and the grounds therefore shall be in writing to the Chair of the General Promotions Committee.*
 - 9.1.10 *When an appeal of an assessment is upheld by a Faculty Promotions Committee, the committee may direct that the assessment be modified before it is entered into the personnel file of the academic appointee concerned. [APT 6.6.4.9]*
 - 9.1.11 *Upon receipt of an appeal, the Chair of the General Promotions Committee shall ensure that the Dean (or equivalent) concerned is provided with a copy of the appeal documentation. The Dean may discuss the appeal with the Head, and may submit a written response to the Chair of General Promotions Committee, provided a copy is also sent to the appellant. This response shall be restricted to the clarification of factual information. [APT 6.6.6.2]*
- No further communication from either party shall be accepted by the GPC Chair, unless the Dean's response to the appeal contains new information not previously documented. In this case, the appellant may respond to provide clarification of the new information.*
- 9.1.12 *When an appeal of an assessment is upheld by the General Promotions Committee, the General Promotions Committee may direct that the assessment be modified before it is entered into the personnel file of the academic appointee concerned. [APT 6.6.6.5]*

9.1.13 *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. [APT 6.6.4.10]*

9.1.14 *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. [APT 6.6.4.11]*

9.2 Academic Appointees Whose Cases are Reviewed in the First Instance by the General Promotions Committee

9.2.1 *All academic appointees, whose cases are reviewed in the first instance by the General Promotions Committee shall be advised in writing by the appropriate Dean or equivalent at least one week before the deadline for receipt of appeals by the General Promotions Committee of the recommendation being carried forward to the General Promotions Committee. [APT 6.6.8.1]*

9.2.1.1 *Such an academic appointee may initiate a formal appeal regarding the recommendation. The appeal and the grounds therefore shall be in writing to the Chair of the General Promotions Committee. [APT 6.6.8.2]*

9.2.2 *Upon receipt of an appeal, the Chair of the General Promotions Committee shall ensure that the Dean (or equivalent) concerned is provided with a copy of the appeal documentation. The Dean may submit a written response to the Chair of General Promotions Committee, provided a copy is also sent to the appellant. This response shall be restricted to the clarification of factual information. [APT 6.6.8.3]*

No further communication from either party shall be accepted by the GPC Chair, unless the Dean's response to the appeal contains new information not previously documented. In this case, the appellant may respond to provide clarification of the new information.

9.2.3 *In every case where the General Promotions Committee determines that an increment recommendation for an academic appointee whose case is reviewed in the first instance by the General Promotions Committee should be increased or reduced, the Dean or equivalent shall be invited to meet with the Committee to defend the original recommendation, before the Committee confirms its recommendation to the President. [APT 6.6.8.4]*

9.2.4 The provisions of Sections 9.1.12 and 9.1.13 shall also apply to academic appointees whose cases are reviewed in the first instance by the General Promotions Committee.

9.3 Academic Appointees (Administrative and Professional)

9.3.1 *All Sections relating to appeals to the General Promotions Committee shall apply mutatis mutandis to academic appointees (Administrative and Professional). [APT 6.6.7.1]*

9.4 Attendance of Appellant and Dean at Meetings of the General Promotions Committee

9.4.1 *The Dean (or equivalent) and the appellant will not normally be invited to attend the General Promotions Committee meeting where an appeal is being considered, such invitations being in the sole discretion of the General Promotions Committee. If further*

information is required, the appellant and the appellant's Dean (or equivalent) shall be invited to be present together to provide only such clarification of factual information as members of the General Promotions Committee may request; the appellant and the appellant's Dean (or equivalent) shall not be present when the Committee deliberates and votes on the appeal. [APT 6.6.6.3]

9.4.2 In the case of appeals to the General Promotions Committee with respect to the denial of promotion (to Associate or Full Professor), the appellant and the appellant's Dean (or equivalent) shall be invited to be present together to provide only clarification of factual information as the members of General Promotions Committee may request.

9.4.3 Section 9.4.2 shall also apply in the case of appeals with respect to a zero increment recommendation, where the appellant and the appellant's Dean (or equivalent) shall be invited to be present together to provide only clarification of factual information as the members of the General Promotions Committee may request.

9.4.4 *At any General Promotions Committee meeting, where the appellant is in attendance, the appellant may be accompanied by an advisor, who shall be a Continuing, Contingent Term, or Limited Term member of the academic staff. At least one day prior to meeting with the Committee the appellant shall inform the Chair of the name of the advisor. [APT 6.6.6.4]*

9.5 Appeal Levels

9.5.1 *Appeals against the recommendation of a Head or equivalent must be directed to the Faculty Promotions Committee, or equivalent, in the first instance. The Chair of the General Promotions Committee shall not accept for consideration by the General Promotions Committee any appeals against the Head's or equivalent's recommendation which have not already been heard by a Faculty Promotions Committee or equivalent. [APT 6.6.2]*

9.5.2 *An appeal may be directed to the General Promotions Committee in the first instance only if a Dean's recommendation to the General Promotions Committee lowers the recommendation of the Head or equivalent. [APT 6.6.3]*

9.6 Appeal Decisions

9.6.1 *An appeal, once heard and ruled upon by the General Promotions Committee may not be reopened by the appellant for reconsideration by the General Promotions Committee. [APT 6.6.9.1]*

9.6.2 *Not earlier than the conclusion of the regular cycle of meetings of the General Promotions Committee, the Chair of General Promotions Committee shall advise each appellant in writing (with a copy provided to the appellant's Dean and Head) of the General Promotions Committee's decision respecting an appeal. In every case where an appeal is denied the appellant shall be advised in writing of the basis for the decision. [APT 6.6.9.2]*

10.0 PROCEDURES GOVERNING DISMISSAL FOR REASONS OF FISCAL EXIGENCY

10.1 The role of Faculty Promotions Committees and the General Promotions Committee in advising Deans and the President, respectively, with regard to the dismissal of academic staff members for reasons of fiscal exigency is set forth in APT Section 7.5:

10.2 *The General Faculties Council will urge The Faculty Association to make proposals to the Board of Governors relating to salary savings which will become the subject of immediate*

negotiations. These proposals will not include dismissals but will relate to alternative measures designed to preclude dismissals. [APT 7.5.5]

- 10.3 *If these negotiations do not resolve the problem and savings are still required, the University Planning Committee in conjunction with the University Budget Committee will allocate the required budget cuts to budget units with the instruction to effect the necessary savings in a way which best preserves the University's ability to meet its fundamental teaching, research and service functions. [APT 7.5.6]*
- 10.4 *Faculty budget savings will be accomplished by the Deans on the advice of Faculty Promotions Committees. If dismissals are judged to be necessary, Faculty Promotions Committees and Deans will be guided in their deliberations by the same criteria of quality as in promotions. Seniority will be considered other factors being equal. [APT 7.5.7]*
- 10.5 *Deans' recommendations must be submitted to General Promotions Committee for approval before being passed to the President for referral to the Board of Governors. [APT 7.5.8]*
- 10.6 *Any individual may appeal a Dean's recommendation to the General Promotions Committee utilizing a parallel procedure to that used for promotions as per [APT] Section 6.6.6. [APT 7.5.9]*

11.0 EMERITUS STATUS³

On 1976-05-13 the Board of Governors approved a general procedure for the award of the titles "Professor Emeritus" and "Associate Professor Emeritus" to members of the academic staff retiring from regular full-time service, and noted that "recommendations shall come from Deans or Directors to the General Promotions Committee, which shall in turn give advice to the President on his recommendations to the Board".

Consistent with the above, emeritus status using appropriate titles has also been granted to members of the non-teaching academic staff retiring from regular full-time service.

- 11.1 Eligibility for consideration for emeritus status shall be based on
- a) retirement from the academic staff of The University of Calgary following a minimum of ten years' service while holding a "Continuing", "Contingent Term" or "Limited Term" (full or part-time) Board of Governors' appointment.
 - b) completion of a distinguished career.
- 11.2 In conferring emeritus status on retirement, the University will be
- a) giving formal and public recognition to the important contribution these individuals have made to the University,
 - b) maintaining an active linkage with an important and growing segment of the University community,
 - c) providing moral and other support to the continuing scholarly work of these individuals, and
 - d) benefiting from the continued identification of these individuals with the University.

³ Approved by GFC (267th Meeting, 1984-11-22) and the Board of Governors (1985-01-24).

- 11.3 It follows from Section 11.1(b) that the granting of emeritus status is strongly related to the cumulative record of annual assessments and performance evaluations conducted by the Heads and Deans (or equivalent administrative officers), which are reviewed by FPC's and the GPC. Thus, an individual who has consistently demonstrated meritorious performance would normally be recommended for emeritus status on retirement.
- 11.4 Emeritus status, if granted, shall be at the rank held at retirement, and shall indicate the field of specialization (see emeritus listing in the current University Calendar for examples). Promotion to a higher rank shall not be considered on retirement. In exceptional cases the GPC and the President will consider a recommendation for a designation intended to confer special honour on the individual.
- 11.5 For academic appointees (Administrative and Professional), appropriate rank equivalent emeritus status may be awarded, e.g. Librarian Emeritus.
- 11.6 In special circumstances, an individual who has made a major contribution to the academic program of The University of Calgary but who does not meet all of the eligibility criteria set out in Section 11.1 may be recommended for emeritus status.
- 11.7 In January of each year the Provost and Vice-President (Academic) shall establish a list of individuals who meet the eligibility criteria set forth in Section 11.1, and shall seek advice from the appropriate Deans (or equivalent administrative officer) on whether the granting of emeritus status should be recommended to the President.
- 11.8 The process to be followed at the Faculty level shall be similar to that followed with regard to the promotion of an academic staff member from rank to rank; the Department Head (or equivalent) shall formulate a recommendation and transmit it to the Dean (or equivalent administrative officer), who shall seek the advice of the Faculty Promotions Committee before transmitting his/her recommendation to the Chair, General Promotions Committee.
- 11.9 The documentation provided to the GPC in support of each case shall consist of:
- a) an up-to-date curriculum vitae, including a complete list of publications (or equivalent scholarly contributions),
 - b) supporting recommendations from the Department Head and the Dean (or equivalent administrative officer), together with advice received from the Faculty Promotions Committee.
- 11.10 In a case where the Dean (or equivalent administrative officer) does not recommend the granting of emeritus status to an individual who meets the eligibility criteria, the Dean (or equivalent administrative officer) shall advise the Chair, GPC of the reasons in writing. All of the documentation assembled for the FPC, as set forth in Section 11.9, shall also be transmitted to the GPC, for an automatic complete review of the case.
- 11.11 In the interests of University-wide equity, the GPC shall review individually each case which meets the eligibility criteria, and transmit its recommendations to the President, normally when the results of the annual Spring meeting to review increment / promotion recommendations are submitted.
- 11.12 All retired staff are eligible for certain benefits and privileges as established from time to time by the Board of Governors. The following additional privileges will be provided to individuals holding emeritus status:
- a) listing in the University Calendar;

- b) names retained on all appropriate departmental, Faculty and University mailing lists (e.g. for receipt of newsletters, announcements, information on lectures, seminars, social functions, etc.);
- c) business cards indicating emeritus status and title;
- d) accorded the status of regular full-time continuing academic staff with respect to Library services

11.13 In cases where specific post-retirement agreements are entered into between the University and an individual holding emeritus status for services to be rendered in the University's teaching, research and/or service programs (with or without remuneration) on a 'limited term' basis, the individual shall have the privilege of using the emeritus designation and title.

11.14 On the advice of the Dean, the President may authorize specific individuals holding emeritus status to be granted access to University resources and services for specified purposes and periods of time.

Appendix A**2005 – 2006 General Promotions Committee****Chair**

Dr. Ronald Bond	Provost & Vice-President (Academic)	5464	rbond@ucalgary.ca
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Executive Secretary

Ms. Sandy Repic	Associate V.P. (Human Resources)	6228	srepic@ucalgary.ca
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Voting Members

Prof. Allan Bell	Music	5725	agbell@ucalgary.ca
Dr. Jess Chua	Haskayne School of Business	6331	jess.chua@haskayne.ucalgary.ca
Dr. Roy Gravel	Biochemistry and Molecular Biology	3063	rgravel@ucalgary.ca
Prof. A. Lucas	Law	7111	alucas@ucalgary.ca
Dr. Murray McGillivray	Department of English	4678	mmcgilli@ucalgary.ca
Dr. Janet Ronsky	Mechanical & Manufacturing Eng.	8134	jlrnsy@ucalgary.ca
Dr. David Watt	Teacher Preparation	7353	dwatt@ucalgary.ca
Dr. Preston Wiley	Kinesiology	8518	wiley@ucalgary.ca
Dr. Carey Williamson	Computer Science	6780	carey@cpsc.ucalgary.ca
President or VP(A)	Student's Union	3911	suvpaca@ucalgary.ca
President or VP(A)	Graduate Student's Association	5997	gsapres@ucalgary.ca

Faculty Association Representatives

Dr. David Bershad	Art	5237	dlbersha@ucalgary.ca
Dr. Anton Colijn	Computer Science/Faculty Assoc.	5722	tucfa@ucalgary.ca

Observer

tba	Senate		
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Administrative Support

Ms. Margaret Stephens	Project Coordinator, IMAG	5701	stephens@ucalgary.ca
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Appendix B

**Senior Positions Designated by President
Exempt from GPC Assessment**
Pursuant to *GPC Manual 2.2.1*

President

Vice-Presidents

Chief Development Officer

Associate Vice-Presidents

Deans of Faculties

Registrar

Chief Business Development Officer

Chief Information Officer

Special Advisors to the President

Director, Ancillary Services

Director, Arctic Institute of North America

Director, Continuing Education

Director of Information Resources

Director, Internal Audit

Director, Learning Commons

Director, Office of Institutional Analysis

Director, University Secretariat

Associate to the President

Executive Officer of the Senate, and Assistant to the Chancellor

Appendix C

General Promotions Committee

REVISED

October 25, 2005	GPC meets to review 2005-2006 processes and recommendations, propose amendments to the <i>GPC Manual</i> , etc.
no later than December 16, 2005	Merit pool distributions provided to Faculties by IMAG.
no later than March 17, 2006	Updated <i>GPC Manuals</i> provided to Departments and Faculties by IMAG; summary of revisions sent to staff members; manual available online at www.ucalgary.ca/hr/policies/academic.html
March 24, 2006	Faculty Promotions Committees meet.
	Last day for Deans to submit increment and promotion recommendations, including all supporting documentation, to the Chair, General Promotions Committee via IMAG (A169).
	All staff members must be informed in writing by this date of the recommendation being forwarded, of their right to appeal (if applicable), and of the deadline date for submission of appeals to GPC.
March 31, 2006	Last day to appeal recommendations to the General Promotions Committee. Documentation must be received by the Chair, GPC via IMAG (A169) by 16:30 on this date.
April 19, 2006	Executive Secretary of the General Promotions Committee distributes recommendations and supporting documents to Committee members. (Summary information delivered by April 12, 2006).
May 1 – 5, 2006 (inclusive)	General Promotions Committee meets. NB: If required, additional meetings will be held from May 8 – 12, 2006
May 17, 2006	General Promotions Committee reconvenes if necessary. (<i>GPC Manual 2.7.1 and 2.5.2</i>) GPC review / follow-up meeting.