UNIVERSITY OF CALGARY

GENERAL FACULTIES COUNCIL
AGENDA

Meeting #622, May 11, 2023, 1:30 p.m.   Zoom link: https://ucalgary.zoom.us/j/94694655412 passcode: 024931

Item	Description	Presenter	Materials	Estimated Time
1.	Conflict of Interest Declaration	McCauley	Verbal	1:30
2.	Inclusive Practice Moment	Allan[1]	PowerPoint	
3.	Safety Moment	Holt[2]/Iamartino[3]	Verbal	
4.	Remarks of the Chair	McCauley	Verbal	
5.	Remarks of the Vice-Chair	Werthner	Verbal	
6.	Question Period	McCauley	Verbal	
	Action Items			
7.	Approval of the March 9, 2023 Meeting Minutes	McCauley	Document	
8.	Approval of the Name Change for the Department of Geoscience to the Department of Earth, Energy, and Environment	Baetz[4]/Hubbard[5]/Pidlisecky[6]	Document + PowerPoint	2:00
9.	Approval of Revisions to the Academic Staff Criteria and Processes Handbook	Davidson[7]/Smith[8]	Document + PowerPoint	2:10
10.	Approval of the Retiring of the Aboriginal Student Admissions Policy	Book[9]	Document	2:25
11.	Election of Two Academic Staff Members to the Advisory Review Committee for the Dean of the Werklund School of Education (note: the election will be held using an electronic form immediately following the meeting)	McCauley/McVie	Document	2:30
	Discussion Items			
12.	Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity	Book/Ghali[10]/Wigham[11]	Document	2:35
13.	Proposed Strategic Plan – Ahead of Tomorrow	McCauley/Werthner/Hamilton[12]/Hogan[13]	Document + PowerPoint	2:50

Item	Description	Presenter	Materials	Estimated Time
	Information Items			
14.	Campus Mental Health Strategy Progress Report	Szeto[14]/Wiens[15]/ Moon[16]	Document + PowerPoint	3:35
15.	VPR Catalyst Grants Program	Ghali/MacIntyre[17]	Document + PowerPoint	3:50
16.	Transdisciplinary Connector Grants Program	Ghali/Bryant[18]	Document + PowerPoint	4:05
17.	Standing Reports: a) Report on the March 15, April 11 and April 28, 2023 GFC Executive Committee Meetings b) Report on the March 13, March 27, and April 17, 2023 Academic Planning and Priorities Committee Meetings c) Report on the March 14 and April 18, 2023 Teaching and Learning Committee Meetings d) Report on the March 16 and April 20, 2023 Research and Scholarship Committee Meetings e) Report on the March 23, 2023 Senate Meeting f) Report on the March 24, 2023 Board of Governors Meeting	In Package Only	Documents	4:20
18.	Other Business	McCauley		
19.	Adjournment Next meeting: June 8, 2023 (in-person in ST147)	McCauley	Verbal	4:20

Regrets and Questions: Elizabeth Sjogren, Governance Coordinator
Email: esjogren@ucalgary.ca

Courtney McVie, University Secretary
Email: cmluimes@ucalgary.ca

GFC Information: https://www.ucalgary.ca/secretariat/general-faculties-council

Presenters

1. James Allan, Vice-President (Advancement)
2. Nick Holt, Dean, Faculty of Kinesiology
3. Albert Iamartino, Director - Active Living & Outdoor Centre
4. Kristen Baetz, Dean, Faculty of Science
5. Stephen Hubbard, Vice-Dean, Faculty of Science
6. Adam Pidlisecky, Interim Department Head, Department of Geoscience
7. Sandra Davidson, Co-Chair, Academic Staff Criteria and Processes Handbook Working Group

8. Francine Smith, Academic Co-Chair, Academic Staff Criteria and Processes Handbook Working Group
9. Deborah Book, Legal Counsel
10. William Ghali, Vice-President (Research)
11. Anne Wigham, Protected Disclosure and Research Integrity Advisor
12. Kate Hamilton, Executive Director & Chief of Staff, Office of the President
13. Corey Hogan, Associate Vice-President (Communications) and Chief Communications Officer, Office of Advancement
14. Andrew Szeto, Director, Campus Mental Health Strategy
15. Kevin Wiens, Interim Senior Director - Student Wellness, Access and Support
16. Michele Moon, Team Lead, WellBeing and WorkLife
17. Hector MacIntyre, Manager - Postdoctoral Office and Internal Grants
18. Steven Bryant, Canada Excellence Research Chair (CERC) and Chief Scientist, Creative Destruction Lab - Rockies

The draft Minutes are intentionally removed from this package.

Please see the approved Minutes uploaded separately on this website.

GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE – for approval

SUBJECT: Name Change from the *Department of Geoscience* to the *Department of Earth, Energy, and Environment*

MOTION:

That the General Faculties Council (GFC) approve the **name change** of the *Department of Geoscience* to the *Department of Earth, Energy, and Environment*, effective September 1, 2023, as presented to the GFC and as recommended by the Academic Planning and Priorities Committee.

PROPONENT(S)

Kristin Baetz, Dean, Faculty of Science
Adam Pidlisecky, Interim Department Head, Geoscience, Faculty of Science
Stephen Hubbard, Vice-Dean, Faculty of Science

REQUESTED ACTION

The General Faculties Council is being asked to approve the **name change** of the *Department of Geoscience* to the *Department of Earth, Energy, and Environment*, Faculty of Science.

KEY CONSIDERATIONS/POINTS

The department **name change** embraces and aligns with the transdisciplinary focus of the University of Calgary and reflects the offerings of innovative academic programs. The new name embraces a bold direction for the future and continues to reflect the department's long-standing history of research and innovation in the geosciences. This change signals that we are committed to a future-focused approach to the development of our academic programs, as well as research that will collaboratively leverage expertise from across the university. The direction of the department acknowledges and increases awareness that Earth's grand challenges are inherently transdisciplinary and elevates programs that we know students, community partners and researchers are interested in pursuing.

The name is also intended to be more inclusive and appealing to a diverse range of potential students, new researchers and community partners. The name change is driven by a need to change from a department, and field, with a history of relatively limited diversity, to one that is "*welcoming, inclusive and culturally competent*" (quote from the UCalgary Indigenous strategy). We know it is not enough to rename the department and focus on new areas of research—to grow our department and elevate our creative research capacity and contributions to community, we need to encourage, welcome and support diverse perspectives required for solving the earth science challenges of tomorrow. To do this, we will be working to create a department that respects, embraces and supports the perspectives and experience of everyone, especially those who have traditionally been underrepresented in geoscience, including people from equity-deserving groups. These lived values elevate and strengthen our research, our teaching, collegiality, and our positive impact on the world. Renaming the department is the first step in catalysing this change.

Lastly, it is important to note that our top competitors for potential students in Western Canada have already embraced

more holistic, inclusive, and enticing names, including *Earth and Atmospheric Sciences* (U. Alberta), and *Earth, Ocean and Atmospheric Sciences* (UBC). Notably, inclusion of Energy and Environment in the proposed name is a differentiator amongst our closest competition, taking advantage of keys areas of strength in the Faculty of Science.

OPPORTUNITIES/RISKS

There are researchers and educators from across the University (e.g., Faculty of Science, the Department of Geography in the Faculty of Arts, the Schulich School of Engineering, the School of Public Policy) that focus on Earth's Grand Challenges. The goal of the Faculty of Science is to provide a hub for researchers and educators focused on the scientific aspects of these challenges. As academic programs are developed and transdisciplinary research endeavours are pursued, this department will have a prominent role to play in collaborating, consulting with, and catalysing a broad group of stakeholders to maximize our collective potential. This is an inherent challenge of becoming a truly transdisciplinary university community, and the Faculty of Science is committed to this goal. We see a future where the University of Calgary is a global leader in holistic, impact-focused research. Achieving this will require collaboration across Departments and Faculties; as with all good collaborations, success with be shared and benefit all.

RESOURCE REQUIREMENTS

There will be minimal resources needed to implement the name change. The Department signage will need to be updated. We are developing a comprehensive communication plan for students, staff, alumni, and a broad range of stakeholders. Digital assets will be created, and the department website will be updated to reflect the name change. All of this will be accommodated within the Faculty of Science budget. Degree designations will not be changing, so there are no effects associated with this.

BACKGROUND

The *Department of Geoscience* has a long history of solutions-driven research, historically aligned with traditional energy solutions and geo-specific environmental science problems. Initiated by the oil price crash in 2014, the majors-to-faculty ratio has since plummeted from >20:1 to <5:1. The lack of majors has led to stagnation in Faculty hiring, and the Department has seen limited growth as indicated by a current absence of non-tenured faculty. The situation has been considered a crisis by both department members and external stakeholders, leading to widespread acknowledgement for the need to rebrand and refocus.

Building from professionally facilitated department strategy sessions (February 2020-February 2022) that engaged stakeholders in the geoscience community, from students, alumni, faculty and industry partners through to regulatory body and government agencies, the direction for the *Department of Geoscience* was evident:

> "*Faculty, students, stakeholders share a belief that the existential challenges of our time need to be addressed – and a belief that they can be central to the solutions*" – Geoscience Branding Workshop, Winter, 2022

From discussions, it was clear that in Calgary and elsewhere the term geoscience is perceived to serve predominantly commercial interests, whereas the synonym "Earth Science" is seen to be more fundamental to the present and future health of the planet and its inhabitants. A shift in brand from Geoscience to Earth, Energy, and Environment resonates with students, who long to be central to the solutions for climate change and energy transitions, for example. Results of our strategy sessions are attached, as is the 2022-2025 strategic plan for the department. The strategic plan was deliberately set to a 3-year window to ensure that we created urgency for each of the 7 strategic initiatives.

The Geoscience Department has a long history of transdisciplinary scholarship, with current Faculty that includes a breadth of scientists (geoscientists, physicists, biologists), 3 engineers, 1 pedagogical researcher, and 1 policy researcher. To reinforce our commitment to transdisciplinary scholarship, the Faculty of Science will move its

Environmental Science program, which currently is not associated with any Department, to be housed within the *Department of Earth, Energy, and Environment*. The Environmental Science Program has concentrations that connect 5 of the 6 departments in the Faculty of Science (i.e., Biological Sciences, Chemistry, Geoscience, Physics and Astronomy, and Statistics), as well as the Department of Geography in the Faculty of Arts. The Geoscience Department is already a key contributor to the Environmental Science Program, and it is expected that the re-branded department will become a hub of interdisciplinary pedagogy and research, ensuring a viable number of students and faculty — and room to grow where opportunities arise.

The Faculty of Science is also leading the development of a proposal for a new Energy Science major, which would also find a logical home in the *Department of Earth, Energy, and Environment*. By incorporating geoscience, energy, and environmental science programs under the re-named department, there will be the breadth, depth and critical mass around solving Earth's critical problems within science. The committee developing this program has representation from the Faculty of Science (5 members), Faculty of Arts (2), Faculty of Law (1), Schulich School of Engineering (1) and School of Public Policy (1).

ROUTING AND PERSONS CONSULTED

The decision to change the name of the department has been a key outcome of consultation with stakeholders both internal and external to the university. The genesis for this change was a professionally facilitated stakeholder session, in February 2022, which involved 64 participants comprised of members of the department, university, alumni, industry, and government.

Subsequently, numerous consultations across the university have taken place, including with the Schulich School of Engineering (letter of support from Vice Dean attached), the Faculty of Arts/Department of Geography (letter if support from Dean of Arts & Head of Geography), the interdisciplinary Faculty of Science Environmental Science program (letter of support from Director attached), and Vice Provost Indigenous engagement (plan to build an Indigenous Advisory Group for the Department as it embarks on program changes).

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	Department of Geoscience Council	20-Mar-2023		X		
	Faculty of Science Executive Committee	21-Mar-2023		X		
	Faculty of Science Council	4-Apr-2023		X		
	Academic Planning and Priorities Committee	17-Apr-2023		X		
X	General Faculties Council	11-May-2023	X			

NEXT STEPS

If approved by the General Faculties Council, the new department name will be officially announced, and the name will be updated on the University of Calgary web pages and in the University Calendar. The Environmental Science Program will be moved to be within the Department effective Fall 2023 through the Faculty's governance process and the Registrar's Office will update within PeopleSoft.

SUPPORTING DOCUMENTS

1. Letter of Support, Schulich School of Engineering
2. Letter of Support, Environmental Science program
3. Letter of Support, Faculty of Arts/Department of Geography

SCHULICH
School of Engineering

UNIVERSITY OF
CALGARY

Office of the Dean

ENC 101, 2500 University Drive NW, Calgary, Alberta, Canada T2N 1N4
Phone: (403) 220-4192 | Twitter: @SchulichENGG | Web: schulich.ucalgary.ca

Dr. Stephen Hubbard
Vice-Dean
Faculty of Science

May 1, 2023

Letter of support – Change of name for the Department of Geoscience

Dear Stephen,

I am writing to confirm that I am supportive of the proposed name change for the Department of Geoscience to the Department of Earth, Energy and Environment. I appreciate the opportunity you provided to comment on and seek further information about this proposal. The ongoing collaboration and access to undergraduate courses in Energy Science is very valuable to our Energy Engineering program. I look forward to increased opportunities for collaboration with the strengthened governance around Energy Science that will result from this proposal.

Sincerely,

Anders Nygren, PhD, PEng
Vice-Dean
Schulich School of Engineering

Date: April 27, 2023

RE: Name change of Department of Geoscience to Department of Earth, Energy, and Environment

As Director of the Environmental Science Program, I would like to express my enthusiastic support of the proposed name change of the Department of Geoscience to the Department of Earth, Energy, and Environment. The field of geosciences, broadly speaking, is undergoing a metamorphosis and the geoscientists (and energy scientists and environmental scientists) of tomorrow will require a different skillset and mindset to those of yesterday. The Department of Earth, Energy, and Environment will produce those graduates, trained in transdisciplinary approaches to solving the world's most existential problems.

Sincerely,

Dr Dan H. Shugar
Director, Environmental Science Program
Associate Professor, Department of Geoscience
daniel.shugar@ucalgary.ca

2 May 2023

To: General Faculties Council
RE: Renaming of the Department of Geosciences, Response from Arts/Geography

The Department of Geography has had a long relationship with the Department of Geosciences (formerly Geology and Geophysics), especially following the establishment of the Environmental Science (ENSC) and Earth Science (EASC) programmes in 1996, which involved the sharing of resources. The Department of Geography currently shares two faculty members with the Faculty of Science, one with the ENSC programme.

The Department of Geography and the Faculty of Arts are committed to collegial governance and cooperative transdisciplinary agreements. As such, we have agreed to work on a Memorandum of Understanding with the Department of Geoscience due to the significant overlaps with Geography in the Fields of "Earth," and "Environment" (and to a lesser extent "Energy"). The Department of Geography has significant research and scholarly interests in environmental science and particularly the relationship between people and their environment. Some faculty in the Department are also involved in energy. More broadly, several Departments in the Faculty of Arts have interest in the intersection of humans and environment (e.g., Anthropology and Archaeology; Philosophy), environment and energy policy (e.g., Political Science; Economics; Philosophy), and the communication of science to the public (e.g., Communication, Media, and Film; School of Creative and Performing Arts). It is at the intersection of these interests, particularly around Earth's "grand challenges" that the Department of Geography and the Faculty of Arts sees the potential for synergies to be built and benefit offered to both areas.

At the core of this MOU should be respect for scholars in each programme and respect for the scholarly traditions of each field of study. Both fields of study should be able to grow in areas around earth's "grand challenges," in both research and student interest. Any MOU between the two Departments should enhance the enrolment into and strength of both Departments rather than move students (and research) between programmes.

It is our understanding that the MOU will address the following:

- Respectful and collegial governance practices, including semi-annual meetings;
- Strategic alignment of curriculum development, course offerings, and student recruitment;
- Exploration of research collaboration opportunities (e.g., large group grants);
- Discussion of potential cross-appointments and resource sharing, where appropriate.

We hope to identify a focused, mutually beneficial opportunity that can be pursued in collaboration between the Department of Geography and the Department of Earth, Energy and Environment. We are entering this MOU with the shared belief that elevating the prominence of earth science, energy science, and environmental science at the University of Calgary will be mutually beneficial to each department and faculty with a shared focus in these areas.

Dr. Aoife Mac Namara, Dean   Dr. Andrea Freeman
Faculty of Arts   Associate Professor and Head,
                                                        Department of Geography
                                                        (Earth Science Program Coordinator)

GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE - For Approval

SUBJECT: **Revisions to the Academic Staff Criteria and Processes Handbook**

PROPONENT(S):

Sandra Davison, Deputy Provost (Interim), Academic Staff Criteria and Processes (ASCP) Handbook Working Group, Administrative Co-Chair
Francine G. Smith, CSM Professor, ASCP Handbook Working Group, Academic Co-Chair

MOTION:

> That the General Faculties Council (GFC) approve the revisions to the Academic Staff Criteria and Processes Handbook, effective July 1, 2023, as set out in the document provided to the GFC and as recommended by the GFC Executive Committee.

REQUESTED ACTION

The ASCP Handbook Working Group is seeking approval of revisions to the General Faculties Council (GFC) ASCP Handbook (which will hence forward be referred to as The Handbook).

There are two groups of revisions as outlined below:
   I.   The **first group of revisions** relates to house-keeping items that will allow the Handbook wording to align with recent changes to the Collective Agreement or reference minor revisions (e.g., EDI to EDIA; punctuation). These revisions are shown in black text with yellow highlights and require no further consideration. Deleted text is shown with double strike through.
   II.   The **second group of revisions** encompass proposed wording changes that are meant to provide clarity to current Handbook wording. Some are considered minor whereas others are more substantial (e.g., reference to consideration of a *Force Majeure* such as that experience by the global COVID-19 pandemic). Revisions also include a greater consideration of the principles around DORA. This second group of revisions can be found throughout the draft Handbook in the Preamble, Parts A, B, and C. These proposed word changes are shown in red text with yellow highlighting. Deleted text is shown with double strike through.

The Handbook being presented for approval will supersede previous iterations of the Handbook.

KEY CONSIDERATIONS/POINTS

The ASCP Handbook – History and Progression:
The APT Ad Hoc Committee was established in 2011 in response to the negotiations occurring between the Board of Governors and the Faculty Association with regard to a) tenure and promotion procedures, and b) merit assessment procedures. The Committee was charged with *"revamping the APT and GPC Manuals to revise and separate out the various processes in light of tentative agreements reached between the Governors and TUCFA regarding tenure and promotion processes"* and with "*preparing a first draft of a document specifying criteria for tenure and promotion, drawn primarily from the APT and GPC Manuals, for consideration by GFC."* The APT Ad Hoc Committee completed its work and prepared a criteria document drawn primarily from the APT and GPC manuals, resulting in the recommendation of the creation of the Handbook in spring of 2019. In other words, **criteria** for

tenure, promotion, and merit assessment, remain under the authority of the GFC, whereas **processes** related to tenure, promotion, and merit assessment were incorporated in the Collective Agreement. With the creation of this new document known as the GFC Handbook, an Academic Staff Criteria and Processes (ASCP) Handbook Working Group was established in the Spring of 2019 with the mandate …"*to review and recommend to the GFC EC, any necessary changes required...*"

Over the next two years, the Handbook Working Group met on a regular basis, and members dedicated considerable time and resources to addressing outmoded and outdated criteria on research and scholarship, teaching, and service for academic staff members, introducing new wording in line with the 21st century. As well, the ways to attract and appoint academic staff to the university was overhauled. In this way, the Handbook was revised and separated into three separate sections: Part A including Definitions, Authority, Faculty Guidelines, and Transitional Provisions; Part B outlining Criteria for Appointment, Renewal, Transfer, Tenure, Promotion, and Merit Assessment; and Part C describing Academic Appointments Selection Procedures, Position Posting, Expedited Procedures for Spousal and Strategic Hiring, and Equitable & Inclusive Hiring Initiatives. This revised Handbook was approved at GFC in June of 2021.

From July 2021 to September 2022, the Handbook Working Group activities were on a hiatus pending:
a) changes to the Handbook Working Group Terms of Reference,
b) appointment of additional voting members,
c) appointment of an Administrative Co-chair, and
d) assignment of an Executive Assistant from the Provost's team.
After a) to d) above were completed, meetings of the Handbook Working Group resumed in the fall of 2022 with activities focused on proposed revisions to the wording of the various sections of the Handbook. The activities of the Handbook Working Group are on-going.

Description of Proposed Handbook Revisions:
The revisions to the Handbook being brought forward for approval can be divided into two groups as follows:

Group I revisions:
These are shown in black text with yellow highlights and reflect word changes to correctly align the Handbook with the wording of the Collective Agreement between the Faculty Association of the University of Calgary and the Board of Governors of the University of Calgary (effective July 1st, 2022-June 30, 2024), along with some minor editorial revisions. Deleted text is shown with double strike through. Specific changes are listed below:

Part A.
1.1.vii   the acronoym for equity, diversity, and inclusion (EDI) has been changed to EDIA to
             incorporate reference to "accessibility".
2.5   additional wording to align with the Collective Agreement
3.7 xiv.   numerical change to align with the Collective Agreement
4.2   the word *"Transfer"* has been added; its absence was an oversight.

Part B.
2.1.2, 2.5, 2.6, 2.7, 3.2, 3.3, 3.4 –new terminology for streams to align with the Collective Agreement
2.7.4 deleted; this is an obsolete category that has been removed from the Collective Agreement.

Part C.
3., 5.3.2– new terminology for streams to align with the Collective Agreement

Group II revisions:
These are shown in red text with yellow highlights and encompass proposed wording changes to provide additional clarity to current Handbook wording. Deleted text is shown with double strike through. Specific changes are listed below:

Preamble
- New introductory paragraph briefly describes the Handbook and its contents
- Wording changes in para 3,5,6 to better reflect EDIA and Indigenous Engagement
- Reorganization of two paragraphs

Part A
1.1.v   DORA has been added and explained
1.1.vi   Dual Career Hire has been introduced to replace the combined hiring of two parties; previously referred to as Spousal Hiring
1.1.xiii Partner replaces Spouse [also in 1.1.xiv]; expansion of partner meaning
3.7.v   new clause that references DORA
3.7.vi. with regard to funding, *"competitive and other"* has been deleted and *"different"* has been added
Part B
1.   Criteria for Research and Scholarship, Teaching, and Service
1.1.5   new clause to reference the potential impact on academic activities that may result from a major event (*Force Majeure*) such as the global COVID-19 pandemic
1.2.4   deletion of "*a number of*" – this is to better align with DORA
1.2.7   removal of "*competitive*" to align with changes in Part A [also in 1.2.8]
1.2.8   alignment with principles of DORA (i.e., "*high quality journal article*" replaces "*in a top tier journal*"; addition of "*social innovation*"

2.   Requirements for Academic Staff Ranks and Streams
Titles throughout Part B.2 changed to include reference to Hiring Transfer, or Promotion Requirements (for clarity to represent entry level requirements)
2.1.1   addition of wording "*hiring, transfer, or promotion*" to improve clarity
2.2.1   removal of "*competitive*" to align with changes in Part A [also in 2.3.2,2.3.3,2.4.1,2.4.3]
2.3.1   addition of "*transfer into*" [also in 2.4.1,2.4.2,2.4.5,2.5.1,2.5.2,2.6.1,2.6.2,2.6.3, 2.7.2]
2.3.2   changes to wording to improve clarity and to align with principles of DORA [also in 2.4.1]

3.   Criteria for Renewal, Transfer, Tenure and Promotion
3.1.3   new clause with reference to a *Force Majeure* as described in B.1.1.5

4.   Criteria for Merit Assessment
4.1.10   new clause with reference to a *Force Majeure* as described in B.1.1.5

Part C
Throughout Part C, Spousal hiring is replaced with Dual Career Hiring; Spouse is replaced with Partner.
See also Part A Definitions

2.   Position Posting
2.4.vii. consideration of narrative statement or Most Significant Contributions to align with principles of DORA
2.4.x.   New clause separated from 2.4.ix. and the words *"a statement"* added for clarity
2.4.xi. New clause outlining Hiring Statement and including reference to DORA.
2.7.   New clause (separated from 2.4) regarding review of Hiring Statements.

3.2 Responsibilities of Academic Appointments Selection Committees
3.2.1.x clarity around confidentiality; training around Indigenous Engagement and DORA added
3.2.3 clarity around confidentiality [also in 3.3.2,3.5.2]
3.2.4 training for DORA added

3.6 Recommendation of Appointment
3.6.1 written report to include reference to DORA
3.6.2 clarity around appointment *With Tenure*

5. Expedited Extraordinary Procedures for Dual Career and Strategic Hiring
Throughout Part C, Spousal hiring is replaced with Dual Career Hiring; Spouse is replaced with Partner.
See also Part A Definitions.

5.4.7 the word "must" replaced with the word "shall" with reference to appointments made *With Tenure*
5.4.8 new clause to recognize deviations with respect to appointments made *With Tenure*
5.4.10 clarity around written comments provided to Hiring Committee
5.4.11 addition of a new sentence to improve clarity

7. Other Appointments
7.1 addition of wording "for a Partner Hire" to improve clarity; removal of "or immediately following" as the special Limited Term elapses after one-year

RISKS / FUTURE DIRECTIONS

Since implementation of the Handbook in June 2021, each Faculty across the University was asked to update **Faculty Guidelines** and include any disciplinary requirements for the academic staff affiliated with that Faculty. This work has been on going and it is anticipated that several Faculty Guidelines will have reached the Provost's approval in the coming weeks to months. Teams across the various faculties as well as HR and TUCFA have been working diligently on drafts of Faculty Guidelines to ensure alignment with the Collective Agreement, the Handbook, and DORA. After completion of all Faculty Guidelines, the Handbook Working Group will revisit Part A.3.7 to discuss in detail any further clarifications that may be required in future iterations of the Handbook.

The **Research Impact Assessment Working Group** has completed its activities in developing and recommending strategies to introduce and implement the Declaration on Research Assessment – **DORA,** into UofC policies and procedures. This includes a mandate to incorporate the principles of DORA into policies related to Transfer, Renewal, Tenure and Promotion, as well as Merit Assessment. Hiring practices of the UofC also need to align with the principles of DORA. It is important to note that the current version of the Handbook [dated June 2021] was the first such document in Canada to reference the importance of DORA [see Part B. 1.]. Dr. Penny Pexman and the Knowledge Engagement Team have been instrumental in assisting the Handbook Working Group to improve Handbook language around the principles of DORA included in Group II revisions.

Dr. Malinda Smith, the Vice-Provost and Associate Vice-President Research (Equity, Diversity and Inclusion) and Dr. Michael Hart, the Vice-Provost (Indigenous Engagement) have been consulted with respect to the revised Preamble wording provided in the Group II revisions. These consultations will continue when the activities of the Working Group resume in the Fall of 20223 to ensure alignment of Parts A, B and C of the Handbook with the Indigenous Strategy as well as the principles surrounding EDIA.

ROUTING AND PERSONS CONSULTED

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	GFC Executive Committee	2023-02-15			X	
	General Faculties Council	2023-03-09			X	
	GFC Executive Committee	2023-04-28		X		
X	General Faculties Council	2023-05-11	X			

Persons and other groups consulted:
- Penny Pexman, Associate Vice President Research, February, 2023
  [presentation to Handbook Working Group on DORA]
- Michael Hart, Vice-Provost (Indigenous Engagement) November 2022, February 2023
  [consultation around Preamble wording]
- Malinda Smith, Vice Provost (Equity, Diversity, Inclusion), November 2022, February 2023
  [consultation around Preamble wording]

NEXT STEPS

If the proposed changes for revision meet the approval of GFC, the revised Handbook will be made available to academic staff members for use in tenure and promotion and merit assessment cycles. Having the revisions be effective as of July 1st, 2023, will allow academic staff members applying for Renewal, Transfer, Tenure and/or Promotion to access the latest version of the Handbook at the time that they are preparing their portfolios ahead of the due date of September 1st. It is also anticipated that the Handbook will be updated annually with any subsequent revisions to take effect July 1st of each year.

SUPPORTING MATERIALS

1. ASCP Handbook dated May 2023 – showing revisions
2. ASCP Handbook dated May 2023 – clean copy

HANDBOOK

UNIVERSITY OF CALGARY

GFC Academic Staff Criteria & Processes Handbook

as approved by

The General Faculties Council

~~June 2021~~

Showing revisions

Proposed draft revisions effective July 1, 2023

as of May 2023

Preamble

*This Handbook has been developed to assist academic staff to understand **criteria** necessary for academic progression between and within ranks, including requirements for transfer, renewal, tenure, and promotion, as well as merit assessment. Details regarding **processes** for academic appointments selection are also detailed herein, to guide selection committees in recruiting highly qualified individuals based on the principles of inclusive excellence.*

The University of Calgary is a research-intensive institution committed to discovery, creativity, and innovation with aspirations for excellence, achievement, and high academic standards. To this end, the University provides leadership to society and guides the evolution of new ideas that contribute to quality of life for Albertans, Canadians, and people worldwide.

The University values epistemic pluralism (different ways of knowing) and the pursuit and creation of knowledge and diverse knowledge traditions. Striving for scholarly advancement in all disciplines, the University is committed to advancing innovation, discovery, entrepreneurship, and knowledge engagement, to the benefit of our communities. In its commitment to innovative teaching and learning, the University educates the next generation to tackle society's challenges in a diverse and ~~an~~ increasingly complex world.

The Handbook's contents shall ~~also~~ be applied as consistent with the principles of due process, and balance procedural transparency as well as the protection of an individual's right to privacy. As well, the Handbook's contents should allow for flexible interpretation ~~in order~~ to achieve fairness towards all academic staff members. [moved from below]

The University of Calgary is committed to equity, diversity, inclusion, and accessibility, and to reconciliation and Indigenous engagement. The contents of this Handbook shall also be applied in the spirit of addressing barriers that have been, and continue to be, encountered by equity-deserving groups including, but not limited to women, Indigenous peoples ~~visible /~~ racialized / visible minority~~ies~~ persons, persons with disabilities, and LGBTQ2S+ persons. [moved from below]

By creating and maintaining a positive and respectful ~~productive~~ environment ~~committed to equity, diversity and inclusion,~~ the University promotes a culture ~~where~~ of inclusion and a campus free from harassment, bullying, and discrimination. Indigenous ways of knowing, doing, connecting and being shall also be promoted and respected by maintaining shared ethical spaces inclusive of Indigenous peoples. In this way, all members will have the greatest potential to thrive and welcome the freedom to learn, experience, investigate, comment, critique, and contribute to society locally, nationally, or internationally.

~~The contents of this Handbook shall be applied in the spirit of addressing barriers that have been, and continue to be, encountered by equity-deserving groups including, but not limited to women, Indigenous peoples, visible/ racialized minorities, persons with disabilities, and LGBTQ2S+.~~ [moved to paragraph 5]

~~The Handbook's contents shall also be applied as consistent with the principles of due process and balance procedural transparency as well as the protection of an individual's right to privacy. As well, the Handbook's contents should allow for flexible interpretation in order to achieve fairness towards all academic staff members.~~ [moved to paragraph 4]

Table of Contents

PART A

Definitions, Authority, Faculty Guidelines,
Transitional Provisions

1. Definitions

1.1   For the purposes of this Handbook, the following definitions apply (listed alphabetically):

i.   "AHRA", stands for the Alberta Human Rights Act.

ii.   "Collective Agreement" means the *Collective Agreement* between the Governors of the University of Calgary and the Faculty Association of the University of Calgary in force at the time the provisions of this Handbook are being applied.

iii.   "Conjoint Unit" refers to the Faculty, Department or Unit that a cross-appointed academic appointee will join as part of their secondary affiliation.

iv.   "Dean" means the Dean, or Dean equivalent of a Faculty as defined in ~~ix~~.

v.   "DORA" stands for the Declaration on Research Assessment and recognizes the need to improve the ways in which research and scholarship is evaluated.

vi.   "Dual Career" ~~Spousal~~ Hire" refers to the hiring ~~combination~~ of ~~a~~ two parties ~~spouse~~ of a marriage or ~~spousal~~ equivalent ~~of a Primary Hire~~ who both have ~~has~~ the qualifications to hold an appointment as an academic staff member and who desire~~s~~ to do so;

vii.   "EDIA" stands for equity, diversity, ~~and~~ inclusion, and accessibility.

viii.   "Equity-Deserving Groups" are communities that experience significant collective barriers in participating in society. These barriers may encompass attitudinal, historical, social, and environmental barriers based on prohibited grounds as outlined in the AHRA.

ix~~vii~~.   "Equitable & Inclusive Hiring" refers to programs designed to meet the requirements outlined in Section 10.1 of the AHRA which states:

"*It is not a contravention of this Act to plan, advertise, adopt or implement a policy, program or activity that*:

(a) *has as its objective, the amelioration of the conditions of disadvantaged persons or classes of disadvantaged persons, including those who are disadvantaged because of their race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status or sexual orientation; and,*

(b) *achieves, or is reasonably likely to achieve, that objective".*

x~~viii~~.   "Faculty" refers to the following (listed alphabetically): Arts, Cumming School of Medicine, the Haskayne School of Business, Kinesiology, Law, Libraries and Cultural Resources, Nursing, the School of Architecture, Planning and Landscape, the Schulich School of Engineering, Science, Social Work, Student and Enrolment Services, Veterinary Medicine, and the Werklund School of Education.

~~ix~~i.   "Faculty Guidelines" refer to the guidelines pertaining to academic staff criteria and processes that ~~f~~Faculties develop, as set out in this Handbook.

xii.   "Home Unit" means the Faculty (and Department for Departmentalized Faculties) where all or a majority of an appointment is held.

xiii.   "Partner ~~Spousal~~ Hire" refers to the ~~spouse~~ partner of a marriage or ~~spousal~~ equivalent such

as an established unmarried relationship, of a Primary Hire who has the qualifications to hold an appointment as an academic staff member and who desires to do so.;

xiv. "Primary Hire" means the partner ~~spouse~~ of a marriage or ~~spousal~~ equivalent who:

    a. has been recommended for an offer of appointment in accordance with the procedures outlined in this Handbook,

    b. currently holds a Limited Term, Contingent Term or Continuing academic appointment or,

    c. has been recommended for, or holds, either a non-academic or a Senior Leadership Team position.

xv. "Strategic Hire" refers to specific individuals who will bring the greatest possible recognition to, and/or significantly enhance the reputation of, the University because they meet one or more specific criteria (outlined in Part C.5.3), and cannot be recruited using the normal procedures.;

xvi. "Transdisciplinary" means an appointment across one or more Units.

2. Authority and General Considerations

2.1 Within this Handbook, criteria for Renewal, Transfer, Tenure and Promotion, and Merit Assessment, are established by the University's General Faculties Council (GFC) pursuant to Articles 28.4 and 29.2 of the *Collective Agreement* between the Faculty Association of the University of Calgary and the Governors of the University of Calgary. GFC also has the authority to approve procedures related to appointments pursuant to Section 22(2) of the Post-Secondary Learning Act.

2.2 Part B of this Handbook describes criteria for Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment. Part C of this Handbook describes Academic Appointment Selection Procedures. Criteria outlined in Part B of this Handbook shall also apply to criteria pertaining to the appointment of academic staff members as outlined in Part C.

2.3 The Academic Appointment and Selection Procedures laid out in Part C of this Handbook shall apply to all Continuing, Contingent, and Limited-Term appointments.

2.4 Only criteria established or authorized by the GFC or provided within the *Collective Agreement* shall be considered in matters relating to Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment.

2.5 With respect this Handbook, all parties shall be governed by Article 7.1 of the *Collective Agreement* of the *Collective Agreement* which currently states: *"The Parties agree that the Governors, the Association, and the members of the Association shall not discriminate against any member of the academic staff, University staff or students by reason of race, political or religious affiliation or beliefs, colour, sex, sexual orientation, gender, gender identity, gender expression, physical characteristics, physical or mental disability, marital status, family status or family relationships, age, ancestry or place of origin, source of income, or membership or activity in the Association as provided under the terms of this Agreement."*

2.6   Sessional and Retired Short-Term positions shall be appointed, reappointed, and/or assessed as applicable, according to provisions of the *Collective Agreement.*

2.7   Where senior leadership team members are to be appointed to academic positions, in accordance with the *"Policy on the Appointment and Reappointment of Deans"* and the *"Procedure for Adding an Academic Appointment to a Senior Leadership Team Position,"* such appointments must be made in accordance with those policies as approved by the GFC.

2.8   When the Provost & Vice-President (Academic) determines that it may be necessary to deviate substantially from the Academic Appointment Selection Process approved in Part C of this Handbook, the Faculty Association will be consulted. After such consultation, the Provost & Vice-President (Academic) shall decide the appropriate and fair way to proceed in each case and will inform the Faculty Association of the decision. The Provost & Vice President (Academic) will report the above cases annually to the Academic Staff Criteria and Processes Working Group to enable the Working Group to fulfil its responsibilities.

3.   Faculty Guidelines

3.1   For Renewal, Transfer, Tenure, Promotion, and Merit Assessment, Articles 28.4 and 29.2 of the *Collective Agreement* allow GFC to delegate to the Faculty Councils the creation of Faculty Guidelines to ensure that any discipline specific or distinctive aspects relevant to its faculty members are addressed.

3.2   Criteria outlined within this Handbook, may be refined and interpreted in Faculty Guidelines. Faculty Guidelines may not, however, create new criteria, or add to, contradict, or delete criteria, unless specifically authorized to do so within this Handbook.

3.3   Each Faculty Council is required to establish a formal Academic Appointment Selection Process for all appointments of more than twelve months' duration, as part of their Faculty Guidelines. This Academic Appointment Selection Process is intended to be advisory to the Dean and ensure that the recommendation for appointment given by the Dean to the Provost & Vice-President (Academic) has had the benefit of informed opinion from academic staff members.

3.4   The Academic Appointment Selection Process established in the Faculty Guidelines shall be structured in a manner appropriate to the specific Faculty while being consistent with University policies including any policies related to EDI.

3.5   The Academic Appointment Selection Process established in the Faculty Guidelines shall include and be based upon Part C.1 – C.5, below. Faculty Guidelines may refine and interpret the below listed Academic Appointment Selection procedures but may not create new procedures, or add to, contradict, or delete stated procedures, unless specifically authorized to do so within this Handbook**.**

3.6   In the case of a joint or transdisciplinary appointment, or secondment, the Home Unit shall consult with the other Department, Faculty, or Unit for the purposes of tenure and promotion, as well as merit assessment (see also Part C.3.7.4 to C.3.7.7).

3.7   Faculty Guidelines <u>must</u> include a statement or description:

i.   of the relative importance that the Faculty attaches to University functions of research and scholarship, teaching, and service,

ii.   of how the Faculty interprets these functions (i.e., the various activities that the Faculty defines as legitimate and appropriate research and scholarship activities including creative and/or artistic activity),

iii.   of how the Faculty values knowledge engagement and transfer (the ways in which public and private sectors benefit from research), entrepreneurship, and innovation,

iv.   the relative weighting of the activities outlined in i., ii., and iii. as defined by the discipline or field, applicable to academic rank and stream,

v.   the ways in which the Faculty applies the DORA principles in assessing research and scholarship activities in Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment,

vi.   that clearly articulates any expectations with regard to ~~competitive and other~~ different types of funding,

vii.   of how the Faculty assesses other duties such as clinical or professional responsibilities, where applicable,

viii.   of how the Faculty assesses contributions to service activities as well as administrative duties,

~~viii~~ix. of how the Faculty assesses the information supplied within a Teaching Dossier (see also Article 28A of the *Collective Agreement*),

~~i~~x.   that clearly articulates how and when the Faculty credits scholarly work in various stages of publication,

xi.   of expectations with respect to performance in each function by academic staff members, including the ways in which these expectations change within rank, and with seniority within a given rank (see Article 29.2.6 of the *Collective Agreement*),

xii.   of how academic and professional qualifications are applied in recommending Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment,

xiii.   that clearly articulates how accomplishments in research and scholarship, teaching, and service activities as well as any other assigned duties shall be translated into recommendations for Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment within the respective streams present in the Faculty,

x~~iii~~v. of how Faculty Guidelines address variations in applying criteria across units, where applicable, and consistent with Articles 29.5.6 and ~~29.7.5~~ 29.7.4 of the *Collective Agreement*,

x~~i~~v.   that clearly articulates the ways in which academic staff members shall be credited for activities carried out in other departments within the Faculty, and in other Faculties,

xvi.   of the ways in which the Faculty recognizes the diversity of different career patterns and the implications of such patterns for career progression and evaluation of progress,

xvii. of the ways in which the Faculty recognizes systemic barriers that may prevent academic staff members of equity-deserving groups from achieving career milestones such as Tenure and Promotion at the same rate and speed, as well as achievements through Merit Assessment. Examples of such barriers may include explicit and implicit service expectations, implicit bias and/or discrimination surrounding publication quality, community engagement as a pre-requisite for research and scholarship, and/or cognitive and implicit bias and/or discrimination, influencing application of criteria in Renewal, Transfer, Tenure, Promotion, and in Merit Assessment,

xviii. that clearly outlines where the responsibility lies for drafting a Posting (outlined in Part C.2) for an Academic Appointment Selection,

xix. of how a formal Academic Appointment Selection Committee (outlined in Part C.3.1) will be composed, in particular, how committee members will be elected and appointed from:

    a. within the Faculty but outside the discipline,

    b. from outside the Faculty,

    c. from outside the academy,

    d. how trainees may serve on the committee,

    e. how committee members will be appointed from a Faculty or Unit where an academic staff member is to be cross-appointed or seconded, and

xix. that establish procedures for Academic Appointment Selection according to Part C.

3.8 Changes to Faculty Guidelines shall not take effect until:

i. approved by the Provost as being in compliance with this Handbook and the *Collective Agreement,*

ii. a copy is provided to the Faculty Association, and,

iii. the changes are posted on the Provost's website.

3.9 Following approval by the Faculty Council, and completion of the steps outlined in Part A.3.8, the Dean shall make the approved Faculty Guidelines available to all academic staff members in the Faculty such approved Faculty Guidelines on the manner in which criteria for Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment shall be applied within the Faculty.

4. Transitional Provisions

4.1 For the purposes of Merit Assessment, changes made to criteria within this Handbook and/or the relevant Faculty Guidelines shall only apply from the approved date forward.

4.2 For the purposes of applying for Renewal, Transfer, or for Tenure, as set out in Article 28 of the *Collective Agreement*, an academic staff member may choose to be evaluated under current approved criteria in both this Handbook and Faculty Guidelines, or those in place at the time of appointment. An academic staff member who applies for promotion not linked to an application for tenure may choose to be evaluated under current approved criteria in both this Handbook

and Faculty Guidelines, or under criteria in effect three years prior to the promotion application date, or the date of hire, whichever is later.

PART B

Criteria for Appointment, Renewal, Transfer, Tenure, Promotion, and Merit Assessment

1. Criteria for Research and Scholarship, Teaching, and Service

In keeping with the commitment of the University of Calgary to the San Francisco Declaration on Research Assessment (DORA), research and scholarship activities shall be evaluated based on the quality of the research and scholarship,[1] relying on robust tools and approaches to assessing research quality and impact, rather than on bibliometrics alone. This includes considering the merit of all research and scholarship outputs as well as a broad range of qualitative impact indicators such as influence on policy and practice.

1.1 General Considerations

1.1.1 It is the responsibility of all academic staff members to contribute to a climate in which diversities of opinion and views are valued. This will enable all to participate in decision making and advancing the goals of the University.

1.1.2 The functions of the University include research and scholarship, teaching, and service and shall be evaluated as part of Renewal, Transfer, Tenure and Promotion (see Part B.3) and included in Merit Assessment (see Part B.4). In some instances, academic staff members may undertake clinical responsibilities or other professional activities and/or duties that go beyond these three categories, reference to and assessment of which, may also be included in Faculty Guidelines (see Part A.3.7). General criteria for ranks and streams as well as Professional or Administrative appointments are set out in Part B.2 below.

1.1.3 Within the context of Part B 1.1.1 above, and the requirements of the *Collective Agreement* Article 29.2.2, it is recognized that the nature of research and scholarship, teaching, and service and the proportional distribution of expectations for fulfilling these functions shall vary from Faculty to Faculty. There shall be generally consistent application of these considerations within each Faculty.

1.1.4 It also recognized that activities within these functions may focus on ethical obligations to build and maintain community relationships in addition to the pursuit of research and scholarship.

1.1.5 It is also recognized that instances may arise where research and scholarship and/or teaching and/or service activities of academic staff members have been substantially impacted by a *Force Majeure* event or circumstance that is caused by, or results from, acts or circumstances beyond their control. Such a *Force Majeure* includes, without limitation, acts of God, acts of war, terrorist threats or acts, riots, fires, floods, hurricanes, typhoons, earthquakes, epidemics, or pandemics. In such instances, the relevant evaluation bodies (e.g., Department Head, FTPC) shall duly consider the effects of the *Force Majeure* when assessing the academic progression of the academic staff member(s) so impacted.

1.2 Research and Scholarship

1.2.1 Research and scholarship are major University functions. The primary concern of academic staff

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[1] https://sfdora.org

members and the University shall be the importance of high-quality research and scholarship and/or other creative or professional activities.

1.2.2   Research and scholarship and/or other creative or professional activities *may* include:

i.   fundamental research that creates new knowledge including research creation and creative practice,

ii.   integration of knowledge which involves the synthesis of information across disciplines, and across topics within a discipline; research that involves entrepreneurship and/or innovation,

iii. systematic study of teaching and learning processes, including the scholarship of teaching and learning,

iv.   application of knowledge to critically analyze texts, identify or solve a compelling problem in the community-at-large or challenge in society including knowledge engagement and transfer (the ways in which public and private sectors benefit from research), patents, and commercialization,

v.   knowledge creation grounded in or engaged with Indigenous nations, communities, societies, or individuals that embraces the intellectual, physical, emotional and/or spiritual dimensions of knowledge and interconnected relationships with people, places and the natural environment. It is committed to building respectful relationships with Indigenous communities, valuing their existing strengths, assets and knowledge systems, and striving to meet community needs, through ethically and culturally appropriate means.

1.2.3   Research and scholarship may take place individually or collaboratively and focus on one or more disciplines. High-quality research and scholarship will be measured by peer recognition and/or advancement to the discipline, and/or innovation, and/or creativity, and/or impact on society and community etc.

1.2.4   Activities in research and scholarship vary among Faculties, and across disciplines and fields, encompassing ~~a number of~~ different modes and activities, creative or professional achievements, in different ways consistent with disciplinary culture and practice and as delineated in the relevant Faculty Guidelines. Such activities shall normally be measured by the quality, originality, innovation, impact, entrepreneurial spirit, knowledge engagement, and community impact, and the pattern of the academic staff member's work appropriate to the discipline, field, or community.

1.2.5   It is expected that academic staff members, as required by their rank and stream, shall actively participate in the evolution of their disciplines and professions, to remain current in their fields, and to disseminate the scholarly outcomes of their work in a variety of forms appropriate to their discipline or field.

1.2.6   In their particular fields of endeavor, academic staff members are expected to meet ethical standards for research and scholarship, to adhere to University policies with respect to ethical conduct, and to act with integrity and honesty in conducting and communicating their scholarly work.

1.2.7 Academic staff members are normally required to seek ~~competitive~~ funding to sustain their program of research and scholarship where applicable, as defined in the relevant Faculty Guidelines (see Part A.3.7.v<mark>i</mark>.).

1.2.8 The relative weighting of types of research and scholarship output may vary by discipline, or field (see Faculty Guidelines Part A.3.7.iv.). For example, in some disciplines, publication of <mark>a high quality journal article</mark> ~~in a top-tier journal~~ or a refereed book in a national or international press is the summit of scholarly achievement. Some fields may require extensive efforts in community building before research and scholarship can occur. Knowledge engagement, <mark>social innovation,</mark> including Indigenous research and scholarship, or entrepreneurial activities, may result in different outputs, impact, and innovation. In other disciplines, presentations, lectures, and/or keynote addresses at international conferences, publications in conference proceedings or editing a journal, carry greatest weight. In others, the number and value of external~~, competitive~~ grants received, and/or research contracts awarded are important indicators of research and scholarly activity. Similarly, a patent, contributions to policy, or a juried exhibition of artistic work may indicate significant creative and/or professional achievement.

1.2.9 In Faculties that prepare students for professional practice, contributions to the discipline of that profession shall be deemed relevant to satisfying research and scholarship requirements provided that they are of high quality and are acknowledged contributions to the field, that they flow primarily from research and scholarship, and that they have been subject to an informed review process and enhance the professional reputation of the academic staff member and the University.

1.3 Teaching

1.3.1 Teaching is a major University function. The purpose of teaching is to facilitate learning and to guide the next generation of learners on their educational path.

1.3.2 Approaches to teaching and learning should be pedagogically informed and grounded in a clearly articulated teaching, supervision, and/or mentorship philosophy, as applicable. Teaching effectiveness and expertise are characterized by high-impact teaching and learning strategies to improve student learning and include a demonstrated ability to apply pedagogically informed teaching and learning experiences.

1.3.3 Teaching may take different forms such as direct or classroom instruction at undergraduate and/or graduate levels, as well as competency-based education, and/or field and practicum supervision. Teaching activities may include lectures, seminars, tutorials, laboratories, clinical sets, advising/counselling, creating lesson plans, assessments, grading, and examinations, and upholding academic integrity. Delivery of instruction and support of student learning may be face-to-face, on=line and blended and may occur inside and outside of the classroom, on and off campus (including land-based education), in collaboration with other instructors, other faculties, associated institutions, community organizations or with Indigenous knowledge-keepers and communities.

1.3.4   Teaching may also include supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and other trainees. In this context, teaching activities may include critical evaluation of written work, advice, and guidance to trainees on their research methods and experimental approaches, supervision of experiential activities, participation on supervisory committees, or serving as an external examiner.

1.3.5   Mentorship of undergraduate or graduate students, post-doctoral scholars, and/or other trainees, and/or colleagues, is also an important dimension of teaching. Mentoring activities may include one-on-one or group discussions, sharing knowledge, and providing advice and guidance/counselling. These mentorship activities may include career planning, goal setting, development of a *curriculum vitae*, employment opportunities, and/or other direction that is instrumental to a successful educational experience in the University and beyond.

1.3.6   Educational leadership is a dimension of teaching that advances innovation of, and expertise in, teaching and learning, with impact beyond the classroom. This may include contributions to curricular development and renewal, pedagogical innovations, evidence-based and/or practice-based educational activities including Indigenous teaching practices, the sharing of pedagogical expertise through publications, or formal educational leadership roles in the academic unit or beyond.

1.3.7   The University also recognizes the legitimate role of academics in collaborating with partners in knowledge creation and innovation, or as 'knowledge brokers' in transferring new knowledge and innovations to persons in government, business, industry, the professions, and broader communities through the organization and presentation of seminars, workshops, and short courses.

1.4   Service

1.4.1   Academic staff members have a responsibility to contribute through service to move the institution forward through collegial governance, to advance academic disciplines, and to impact communities and society. Service means active participation and shared responsibility in academic governance, and development in matters relevant to the progress and welfare of the academic staff member's Department, Unit, Faculty, Institution, discipline, and profession.

1.4.2   The degree and number of service activities to which an academic staff member contributes may vary depending on career stage, rank, and stream. Appropriate levels of service shall be expected of each rank. Nevertheless, for individuals whose duties include research and scholarship as well as teaching, the normal expectations for these duties cannot be fulfilled by service activity in the absence of written agreements with the Dean. Meeting the expectation for service should normally require a smaller portion of effort than is required for the functions of research and scholarship as well as teaching.

1.4.3   Service to the University may include participation in Program or Unit-level, Department or Division, Faculty, and University committees, councils, task forces, *ad hoc* teams, and governing bodies, or other parts of the University including the Faculty Association. Activities that

contribute to upholding academic and research integrity across various parts of the academy shall also be considered as important service contributions to the University.

1.4.4   Service to an academic staff member's disciplines or profession may include membership on committees or executive bodies of academic or professional organizations, editorial boards of disciplinary or interdisciplinary journals, national or international granting agency councils, on grant selection committees and adjudication panels of regional, provincial, national, or international agencies, and similar professional activities. Service may also involve organization of conferences, seminar series, workshops or presentation of short courses within the University, the broader community, or within the national and/or international arena.

1.4.5   Service to the community and general public takes place in several forms. Public or community service involves the contribution of an academic staff member's professional and disciplinary expertise to the community and public-at-large in association with their University appointment. Academic staff members may contribute to general, professional, or cultural communities, the province, and the nation, as well as globally, by reciprocal application of their scholarly or professional expertise, knowledge engagement and transfer, thereby bringing recognition to the University. Other service to the community that flows from the discipline, or field, or that accrues through other distinguished service to the University and/or the community may be acknowledged when it brings distinction to the University and/or community.

1.4.6   With regard to all service activities as outlined above, serving as Chair/Co-Chair or Executive Membership, for example, could carry significantly more weight than that of membership. Serving as Editor or Associate Editor, or as a member of an Editorial Board for a journal or similar body, for example, could also carry significantly more weight than that of reviewing. It is the role of the Head or equivalent to take into account the time commitment and role that an academic staff member takes on in various service assignments.

1.4.7   Academic staff members may also contribute service to specific communities requiring significant time commitment ~~in order~~ to establish trust, depth and stability, thereby integrating the University with its communities. In some instances, such contributions may be a necessary element of their research and scholarship activities that should be recognized in considerations for Tenure and Promotion, and in Merit Assessment.

1.4.8   Formal and informal service commitments across the University are often disproportionally expected from academic staff members of under-represented groups. Their commitment to offer a diversity of perspectives and experiences on committees and other decision-making bodies supports the University in making the best possible decisions and to establish an inclusive campus for all. Such contributions shall be considered in Tenure and Promotion, and in Merit Assessment.

1.5   Administrative Duties

In accordance with Articles 28.3 and 29.2.3 of the *Collective Agreement*, the quality of administrative leadership shall be recognized when evaluating academic staff for Tenure and

Promotion, and for Merit Assessment. Administrative duties can take the form of formal appointments or may occur informally.

2. Hiring, Transfer, or Promotion Requirements for ~~to~~ Academic Staff Ranks and Streams

2.1 General Considerations

2.1.1 The following paragraphs set out the hiring, transfer, or promotion requirements for academic staff members across ranks and streams for a) the teaching and research stream, ~~professorial~~ and b) the teaching-focused stream ~~instructor~~ as well as administrative and professional streams. These requirements describe the level at which academic staff members in each rank and stream are expected to contribute to research and scholarship, teaching, and service.

2.1.2 As a principle, expectations increase in relation to rank. As academic staff members progress through the ranks, they may take on a variety of roles in a University community and in their professions, and the vitality of the University community, the academic disciplines, and the broader community or society depends upon their commitment and involvement.

2.2 Hiring, or Transfer Requirements for Assistant Professor

2.2.1 Appointment to the rank of Assistant Professor normally requires completion of the highest rank of academic training in a discipline or field. Evidence or promise of original high-quality research and scholarship and future development as a scholar must be present. Where appropriate to the proposed program of research and scholarship, evidence or promise of the applicant's ability to obtain ~~competitive~~ funding may also be required (see also Part B.1.2.7). Appointment to the rank of Assistant Professor may also require evidence or promise of teaching proficiency or professional activity.

2.3 Hiring, Transfer, or Promotion Requirements for Associate Professor

2.3.1 Appointment at, transfer into, or promotion to the rank of Associate Professor normally requires evidence of high-quality research and scholarly activities, evidence of teaching effectiveness (as outlined in Part B.1.3) and an appropriate record of service.

2.3.2 Appointment at, or promotion to the rank of Associate Professor normally requires evidence of an established academic program of a calibre equivalent to national recognition by peers. According to discipline or field, indicators may vary. Within the context of this paragraph, s~~S~~ome *examples* are as follows:

   i.   evaluation by external referees as recognized authorities external to the University, who are qualified to evaluate the applicant,

   ii. publication of high-quality peer-reviewed ~~or equivalent juried creative~~ work~~s~~ in ~~highly ranked~~ appropriate journals of the field, ~~and competitive peer-reviewed conference proceedings~~, or equivalent juried creative work

   iii. creative or professional awards or prizes that bring distinction to the University,

iv.   keynote address or invited speaker to conferences, seminars, or workshops, at the local, regional, national or international level, relevant to the discipline or field,

v.   service as an expert to a ~~well~~ recognized organization,

vi.   election or appointment as a member or leader of a ~~reputable~~ scholarly society,

vii.   service as peer reviewer for journals or granting bodies including *ad hoc* reviewing,

viii.   participation in research networks, consortia, or research teams.

2.3.3   For appointment at, or promotion to, the rank of Associate Professor, it is expected that a record of high-quality research and scholarship such as peer-reviewed or refereed presentations or publications in an academic, community or artistic forum suitable to the discipline or field has been achieved, or that other measurable contributions to professional practice, knowledge engagement, innovation, or entrepreneurship have been achieved. Evidence of ability to obtain ~~competitive~~ funding to sustain a research program is normally required (see also Part B.1.2.7).

2.3.4   In some disciplines or fields, and depending upon assigned duties, appointment at or promotion to the rank of Associate Professor may require the academic staff member to have successfully taught a variety of courses and provided evidence of teaching effectiveness (e.g., as part of a Teaching Dossier). This may be demonstrated by contributing to course and/or curricular development, serving as a member of graduate student supervisory committees, providing trainee mentorship, and/or demonstrating successful supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and/or other trainees. Teaching effectiveness and expertise also includes a demonstrated ability to design learning experiences grounded in a clearly articulated teaching, and/or mentorship, and/or supervisory philosophy (see also Part B.1.3.2 to B.1.3.5).

2.3.5   For appointment at, or promotion to, the rank of Associate Professor, a satisfactory record of and active involvement in university, professional or community service that has demonstrated commitment to the Department, Unit, Faculty, University or wider community is also expected, as defined in the relevant Faculty Guidelines.

2.3.6   When an academic staff member holds a tenure-track appointment at the rank of Assistant Professor, the granting of promotion to the rank of Associate Professor normally carries with it the granting of tenure.

2.4   ==Hiring, Transfer, or Promotion== Requirements for Professor

2.4.1   Appointment at, ==transfer into,== or promotion to, the rank of Professor is reserved for those whose academic achievements would normally be recognized by their peers within the University and beyond to be of a calibre equivalent to international standing and as outstanding in their community, discipline, or field. According to discipline or field, indicators may vary. ==Within the context of this paragraph,== ~~S~~some *examples* are as follows:

i.   evaluation by ~~internationally~~ recognized authorities external to the University, who are qualified to evaluate the applicant,

ii.   publication of high-quality peer-reviewed ~~or equivalent juried creative~~ work<mark>s</mark> in ~~highly ranked~~ <mark>appropriate</mark> journals of the field~~,~~ ~~and competitive peer-reviewed conference proceedings~~, or equivalent juried creative work

iii.   ~~internationally recognized~~ <mark>preeminent</mark> or influential creative or professional awards or prizes that bring distinction to the University,

iv.   keynote address or invited speaker to high-calibre ~~or international~~ conferences, seminars, or workshops, at leading venues,

v.   invitation to contribute to edited collections,

vi.   service as peer reviewer or Editorial Board member for journals or granting bodies including *ad hoc* reviewing,

vii.   participation in <mark>preeminent</mark> ~~internationally known~~ or influential research networks, consortia, or research teams,

viii. service as an expert to a~~n internationally~~ <mark>universally</mark> recognized organization,

ix.   selection or appointment as a member or leader of a ~~world-class~~ scholarly society.

2.4.2   Appointment at, <mark>transfer into,</mark> or promotion to, the rank of Professor is a recognition of the highest quality of contributions to research and scholarship, teaching, and service including leadership contributions and/or impact or innovation within the relevant community, discipline, or field, resulting in distinguished recognition.

2.4.3   Whereas relative contributions in the areas of research and scholarship, teaching, and service may vary across the professorial stream, appointment at, or promotion to, the rank of Professor normally requires a sustained body of research and scholarship that has impacted the community, discipline, or field in a significant way, evidence of an on-going research program sustained by peer-reviewed ~~competitive~~ external or industry grants, where applicable, and defined by the relevant Faculty Guidelines, or other contributions to knowledge engagement, innovation, or entrepreneurship, or creative or professional practice. Notwithstanding the importance of teaching expertise and effectiveness, appointment at or promotion to the rank of Professor shall only be recommended when the academic staff member is recognized to be of a calibre equivalent to international standing on the basis of research and scholarship, equivalent creative activity, or professional contributions to the relevant community, discipline, or field as described in Part B.2.4.1.

2.4.4   Depending upon assigned duties, appointment at, or promotion to, the rank of Professor normally requires evidence of teaching effectiveness (e.g., as part of a Teaching Dossier) at the undergraduate and graduate levels and/or educational leadership. An established track record of supervising or co-supervising undergraduate or graduate students, post-doctoral scholars and/or other trainees, supervisory and/or examining committee membership, and/or mentorship activities, may also be required. Teaching effectiveness and expertise also includes a demonstrated ability to design learning experiences grounded in a clearly articulated teaching, and/or mentorship, and/or supervisory philosophy (see also Part B.1.3.2 to B.1.3.5).

2.4.5   Appointment at, transfer into, or promotion to, the rank of Professor normally requires a distinguished record of service contributions to the institution, the appropriate discipline and profession, and/or broader community.

2.5   Hiring, or Transfer Requirements for ~~Instructor~~ Assistant Professor (Teaching)

2.5.1   Where appropriate to the discipline or field, appointment to, or transfer into, this rank may require completion of the highest rank of academic training or relevant professional designation. Evidence or promise of teaching effectiveness or competency in teaching and learning (e.g., as part of a Teaching Dossier), an awareness of how to apply scholarly approaches to teaching and learning practices, participation in reflective practice, and professional learning activities related to teaching and learning may be necessary. Commitment to, or experience with, defining learning goals, supporting student learning activities and engagement, and creating assessment strategies may also be required.

2.5.2   Appointment to, or transfer into, the rank of ~~Instructor~~ Assistant Professor (Teaching) requires engagement in the research and scholarship required to maintain currency in pedagogy and curriculum design of the relevant discipline or field as well as engaging in other scholarly professional or creative activities that strengthens and informs the academic staff member's knowledge base and expertise as an ~~Instructor~~ Assistant Professor (Teaching).

2.6   Hiring, Transfer, or Promotion Requirements for ~~Senior Instructor~~ Associate Professor (Teaching)

2.6.1   In addition to the requirements for an ~~Instructor~~ Assistant Professor (Teaching), appointment at, transfer into, or promotion to, the rank of ~~Senior Instructor~~ Associate Professor (Teaching) requires evidence of teaching effectiveness (e.g., as part of a Teaching Dossier), a demonstrated ability to apply scholarly approaches to teaching and learning and student engagement, to design student learning experiences and assessment strategies grounded in a clearly articulated teaching philosophy, and to engage in scholarly, professional, or creative activities that inform and expand the academic staff member's knowledge base as an ~~Senior Instructor~~ Associate Professor (Teaching). Depending on duties assigned, and as defined in Faculty Guidelines (see Part A.3.7.xiii.) this may include, but may not be limited to, conducting and disseminating research and scholarship to advance knowledge in the teaching and learning community, supporting academic development of students, trainees, and colleagues, and engaging in educational leadership beyond the classroom.

2.6.2   Appointment at, transfer into, or promotion to, the rank of ~~Senior Instructor~~ Associate Professor (Teaching) requires the continuous development and demonstration of a scholarly foundation for designing and implementing innovative teaching and that supports student learning, ability to create respectful and inclusive learning environments that promote student engagement, participation in professional learning activities, networks, and communities, and engagement in reflective practice to adjust and strengthen one's teaching, learning and assessment practices.

2.6.3   Appointment at, ==transfer into,== or promotion to, this rank may also require a satisfactory record of and active involvement in educational activities such as engagement in professional, University or community service that has demonstrated commitment to advancing teaching and student learning within the Department, Faculty, Unit, University==,== or broader community==.==

2.6.4   When an academic staff member holds a tenure-track appointment at the rank of ~~Instructor~~ ==Assistant Professor (Teaching)==, the granting of promotion to ~~Senior Instructor~~ ==Associate Professor (Teaching)== normally carries with it the granting of tenure.

2.7   ==Hiring, Transfer, or Promotion== Requirements for ~~Teaching~~ Professor ==(Teaching)==

2.7.1   In addition to the requirements for ~~Senior Instructor~~ ==Associate Professor (Teaching)==, the rank of ~~Teaching~~ Professor ==(Teaching)== normally requires a demonstration of the highest quality of contributions to a research-informed practice of, and reflective inquiry into, teaching and learning. This rank is reserved for those who are outstanding in their discipline or field and recognized for their leadership contributions to teaching and learning. ==Appointment at, transfer into, or== Promotion to ~~Teaching~~ Professor ==(Teaching)== requires documented evidence of distinguished achievement in three of the following four categories:

i.   professional learning and development: engaging in professional development to improve teaching and student learning,

ii.   research and scholarship: consulting relevant scholarly sources to design and implement teaching and learning experiences, conducting and sharing research and scholarship on teaching and learning to advance knowledge in the teaching and learning community,

iii.   mentorship: supporting the teaching and academic development of faculty and students,

iv.   educational leadership: activities that advance teaching and learning communities by sharing expertise that helps others to strengthen their teaching practice.

2.7.2   Notwithstanding demonstrated distinction in teaching effectiveness and expertise, appointment at, ==transfer into,== or promotion to, the rank of ~~Teaching~~ Professor ==(Teaching)== shall normally only be recommended where the academic staff member has clearly established an outstanding reputation, demonstrated through educational leadership contributions to the theory and practice of teaching and learning, and by impact on, or innovation within, the relevant community, discipline or field, resulting in distinguished peer-recognition. According to discipline or field, indicators may vary.

Some *examples* are as follows:

i.   advanced innovations in teaching and learning with impact beyond the classroom,

ii.   participation in, and/or leadership of, professional learning activities, and/or networks (e.g., learning communities, workshops, seminars, peer evaluations) to share teaching and learning expertise with others,

iii.   creating and leading initiatives, advising on academic programs and curricula, and/or engaging in effective mentorship,

     iv.   dissemination of research and scholarship in the broader community (e.g., Department/ Faculty/University presentations and workshops, conference presentations and proceedings, keynote addresses or invited speaker, white papers, journal articles),

     v.   educational leadership responsibilities within Department, Faculty, Unit, University or broader community,

     vi.   recognition of teaching expertise across and/or beyond the University.

2.7.3   Appointment at or promotion to the rank of ~~Teaching~~ Professor (Teaching) also requires a distinguished record of service contributions to the institution, the appropriate discipline, and profession, and/ or broader community.

~~2.7.4   Requirements for Lecturer (Medicine)~~

~~Appointment as Lecturer (Medicine) shall require the completion of academic or professional qualification in Medicine or its associated disciplines. Appointment shall also require evidence of appropriate teaching or professional experience.~~

~~*Note, 2.7.4 is an obsolete category but still present within the Collective Agreement; it may be removed from the Collective Agreement in the near future at which time 2.7.4 can be removed from the Handbook.*~~

2.8   Requirements for Academic Staff in Administrative and Professional Streams

2.8.1 Librarians

2.8.1.1 Criteria with respect to Librarians, Archivists, and Curators, shall be established by the Academic Council of Libraries and Cultural Resources.

2.8.2 Counsellors

2.8.2.1 Criteria with respect to counsellors in Student and Enrolment Services shall be established by the Council of academic staff in Student and Enrolment Services.

2.8.3 Other (Administrative and Professional Academic Staff)

2.8.3.1 Criteria with respect to administrative and professional academic staff members shall be established by the appropriate Vice-President or delegate with due regard to the historic duties of the position and after meaningful consultation with the academic staff member(s).

2.8.3.2 A review of these approved criteria may be initiated by either party prior to the commencement of a calendar year. The review and any modification of criteria and duties shall be carried out by the process outlined in Part B.2.8.3.1.

3.   Criteria for Renewal, Transfer, Tenure and Promotion

3.1   General Considerations

3.1.1   Renewal of a tenure-track appointment requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a reasonable likelihood that they will be able to successfully apply for an appointment *With Tenure* at the University of

Calgary within the time allowed.

3.1.2 Achieving tenure and promotion is a milestone in an academic career and an expression of a university's commitment to the academic staff member who is making the application. Criteria applied in Tenure and Promotion processes have, however, been shown to be subject to implicit bias – the attitudes or stereotypes that can affect our understanding, actions, or decisions, in an unconscious manner. It is important for members of Faculty Tenure and Promotion Committees (FTPC) to recognize that bias may be present and to critically reflect on same when reviewing applications and referencing relevant criteria.

3.1.3 When evaluating applications for renewal, transfer, tenure and/or promotion, FTPC members shall duly consider instances where research and scholarship and/or teaching and/or service of academic staff members has been substantially impacted by a *Force Majeure* event as detailed in Part B.1.1.5.

3.1.4~~3~~ Advancement to a higher rank is not automatic. Continued growth in research and scholarship, teaching, and service is typically required for all ranks and streams according to assigned duties. Outstanding performance in one area normally cannot substitute for insufficient performance in another.

3.2 Tenure and Promotion in the ~~Professorial~~ Teaching and Research Stream

3.2.1 Granting of an appointment *With Tenure* requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a substantial likelihood that they will be able to sustain a career as a productive researcher and scholar, effective teacher, and active contributor to the University of Calgary community.

3.2.2 When an academic staff member applies for an appointment *With Tenure* in the ~~Professorial~~ Teaching and Research Stream, the FTPC shall seek evidence that the academic staff member has been successful in meeting criteria for the rank, as set out in Part B.2. To this end, the FTPC shall:

i. review evidence of the accomplishments of the academic staff member in research and scholarship, teaching, and service, or other assigned duties, both over their entire career and since appointment at the University of Calgary,

ii. then consider the overall career pattern of the academic staff member, taking into account the time elapsed since completion of the highest degree, or professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii. use criteria as set out in the relevant Faculty Guidelines in evaluating the evidence presented.

3.3 Tenure and Promotion in the ~~Instructor~~ Teaching-Focused Stream

3.3.1 When an academic staff member applies for an appointment *With Tenure* in the ~~Instructor~~ Teaching-Focused Stream, the FTPC shall seek evidence that the academic staff member has been successful in meeting criteria for the rank as set out above in Part B.2.

3.3.2   The granting of an appointment *With Tenure* and Promotion to ~~*Senior Instructor*~~ <mark>Associate Professor (Teaching)</mark> requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a substantial likelihood that they will be able to sustain a productive career as an effective teacher and active contributor to the University of Calgary community.

To this end, the FTPC shall:

i.   review evidence of the accomplishments of the academic staff member in teaching and learning, service, any other assigned duties, and engagement in other scholarly activities that inform and expand the academic staff member's knowledge base, both over their entire career and since appointment to the University of Calgary,

ii.   consider the overall career pattern of the academic staff member, taking into account the time elapsed since completion of the highest degree or professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii. use criteria set out in the Faculty's Guidelines in evaluating the evidence presented.

3.4   Promotion to Professor or ~~Teaching~~ Professor <mark>(Teaching)</mark>

3.4.1   Advancement to the highest rank in <mark>Teaching and Research as well as Teaching-Focused</mark> ~~professorial and instructor~~ streams is not automatic. Excelling in one area of criteria for ranks and streams normally cannot substitute for another. Rigorous standards are applied for evaluating research and scholarship, teaching, and service, or other assigned duties, in considering promotion to Professor or ~~Teaching~~ Professor <mark>(Teaching)</mark> to ensure that the academic staff member has achieved the recognition required for this rank as set out above in Part B.2. An academic staff member considering promotion to Professor or ~~Teaching~~ Professor <mark>(Teaching)</mark> should be an exemplary member of the academy who consistently demonstrates a high standard of achievement in all areas and roles and demonstrates due diligence in meeting assigned duties.

3.4.2   When an academic staff member applies for Professor or ~~Teaching~~ Professor <mark>(Teaching)</mark>, the FTPC shall consider the complete career record of the academic staff member at the University of Calgary and elsewhere.

3.5   Transfer between Streams

3.5.1   In accordance with Articles 28.7.6 and 28.10 of the *Collective Agreement*, all provisions regarding promotion shall apply to the process of transfer between streams with the question being whether the academic staff member seeking the transfer meets criteria for the new rank. A tenured academic staff member may not apply for a rank that normally does not include tenure (e.g., Assistant Professor or <mark>Assistant Professor (Teaching)</mark> ~~Instructor~~).

3.5.2   In the event that an academic staff member wishes to apply to transfer from one stream to another (i.e., <mark>teaching and research</mark> ~~professorial~~ stream to <mark>teaching-focused</mark> ~~instructor~~ stream or <mark>teaching-focused</mark> ~~instructor~~ stream to <mark>teaching and research</mark> ~~professorial~~ stream), the same criteria as outlined above must be met. In the event that an academic staff member meets these

criteria, the FTPC members shall evaluate them based upon the rank and stream to which they are transferring, ensuring that all criteria as set out above, and in Faculty Guidelines, have been met.

3.6 Additional Considerations for Renewal, Tenure and Promotion

3.6.1 Outside Professional Activity shall be considered in determining career advancement to the extent that any such activity contributes to fulfilling the obligations of the academic staff member to the University and to enhancing the stature of the University.

3.6.2 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 of the academic staff member where relevant to Tenure and Promotion.

3.6.3 With regard to Tenure and Promotion, materials in support of demonstrating teaching effectiveness shall be included in the Teaching Dossier of the academic staff member as laid out in Appendix 28A of the *Collective Agreement*.

3.7 Renewal, Tenure and Promotion in Administrative and Professional Streams

In Administrative or Professional streams, granting an appointment *With Tenure* requires a determination that, given the quality and pattern of the academic staff member's career performance, there is a substantial likelihood that they will be able to sustain a career as a productive and effective member of, and active contributor to, the University of Calgary community. To this end, the FTPC shall:

i. review evidence of the academic staff member's accomplishments since appointment to the University of Calgary,

ii. then consider the academic staff member's overall career pattern taking into account the time elapsed since completion of their highest degree of professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii. in assessing the evidence presented to it, use criteria provided in the relevant Unit Guidelines or criteria referred to above.

4. Criteria for Merit Assessment

4.1 General Considerations

4.1.1 In assessing performance and assigning merit, the Head or equivalent shall base their assessments on the requirements set out in Part B.1 and B.2 of this Handbook and Faculty Guidelines.

4.1.2 Article 29.2.2 of the *Collective Agreement* states that criteria for assessing academic staff members shall be applied in a manner consistent with assigned duties as outlined under Article 12.

4.1.3   Article 29.2.2 of the *Collective Agreement* further states that merit shall be assessed on the full duties performed by the academic staff member.

4.1.4   Article 29.2.3 of the *Collective Agreement* states that 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 of academic administrators and others who serve in formally appointed administrative leadership positions. Academic staff members who serve their academic units, faculty or the University in administrative roles, including as Department Heads, Associate Deans, Program or Institute Directors, or other equivalent roles shall also be assessed on the quality of their leadership, e.g., how they have advanced the academic mission of their portfolio, displayed vision, implemented plans and strategies, advanced a culture of high quality research and scholarship, teaching and service, and created meaningful and relevant academic programs.

4.1.5   Article 29.2.5 of the *Collective Agreement* states that criteria for assessing academic staff members in positions outside the professorial, instructor, librarian, curator, archivist and counsellor streams shall be based on the duties assigned at the time of hiring, and as mutually amended by the academic staff member and supervisor over time, or as agreed to by the Provost and Faculty Association.

4.1.6   Article 29.2.6 of the *Collective Agreement* states that as an academic staff member progresses through a rank, the normal expectation of performance rises.

4.1.7   Article 29.3.9.2 of the *Collective Agreement* also states that the awarding of increments of any amount may not be indicative of success in applications for Renewal, Tenure and Promotion.

4.1.8   Heads or equivalents are uniquely qualified to assess the impact of the academic staff member's contributions in the particular community, discipline, or field, and are charged with the responsibility of preparing written performance assessments which are critical for Faculty Merit Committees (FMC). Written assessments should include comments on the quantitative and qualitative contributions an academic staff member has made during the reporting period. Evaluative comments should be included, in a concise format, wherever possible and appropriate, and summarize contributions in research and scholarship, creative and/or professional activities, teaching activities, and service activities, according to assigned duties.

4.1.9   In assessing performance and assigning merit, the Head or equivalent shall consider the possible inequities in workload and assigned duties affecting members of under-represented groups as outlined in Part B.1.4.8.

4.1.10   The Head or equivalent shall also take into consideration when assessing performance and assigning merit, instances where research and scholarship and/or teaching and/or service activities of academic staff members has been substantially impacted by a *Force Majeure* as described in Part B.1.1.5.

4.1.11   Outside Professional Activity for remuneration shall not normally be counted as service for the purposes of Merit Assessment.

4.2 Criteria for Assessing Research and Scholarship Activities

4.2.1 Research and scholarship are major functions in a research-intensive university. Through research and scholarship, academic staff members contribute to innovation and advancements in their discipline, field, and communities, and to the solving of challenges that societies face, both locally and globally. The assessment of research and scholarship activities shall be based upon expectations outlined in Part B.1 and across different ranks and streams in Part B.2, and the relevant Faculty Guidelines.

4.2.2 All research, scholarship, and other creative activities shall be assessed on the merits of the work, regardless of the form in which they appear, and subject to the same rigor of informed peer review or appropriate refereeing. It may be 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.

4.2.3 Faculties will articulate how and when the Faculty credits scholarly work in various stages of publication (see Part A.3.7.ix.).

4.2.4 In assessing research and scholarship activities, the Head or equivalent and the members of the FMC, should be attentive to the evolving and changing nature of research and scholarship, and the ways in which knowledge is produced and disseminated, as specified in the relevant Faculty Guidelines.

4.3 Criteria for Assessing Teaching Activities

4.3.1 Teaching is a major function of the work academic staff members perform at the University. The development, renewal and delivery of undergraduate and graduate level courses, and the evaluation, supervision or co-supervision, and mentorship of trainees, are part of the teaching responsibilities of all academic staff members. The assessment of teaching activities is a critical step for constructively and continuously improving the quality of teaching and the student experience across the University.

4.3.2 Teaching expertise and effectiveness shall be assessed as part of the performance review for merit assessment purposes. Such evaluation should consider all ways academic staff members address their teaching responsibilities and interact with undergraduate or graduate students, post-doctoral scholars, and/or other trainees. Evaluations of teaching activities should also consider the extent of innovation, preparation, reflection and integration of current knowledge, level of interest, direction, and encouragement demonstrated by the academic staff member. Participation in teaching development programs and/or seeking expert opinion to assist in improving teaching and learning shall be viewed as an indication of commitment to teaching. In some disciplines, seeking the advice of Indigenous knowledge keepers should also be considered.

4.3.3 Assessment of teaching activities shall be multi-faceted and, in particular, shall not be based primarily on any one method of evaluation. No single tool or activity is sufficient to assess teaching expertise and effectiveness. Multiple sources of evidence shall be used to obtain a holistic picture of the teaching expertise and effectiveness of the academic staff member. This

may include self-reflection, examples of student work and achievements, multiple sources of student feedback, teaching awards and nominations, peer review and observation, sample course design and assessment materials, teaching innovations, presentations/publications in teaching, professional learning related to teaching, examples of success in mentorship and supervision, and educational leadership activities, as well as any other assessments provided by the academic staff member to the Head or equivalent.

4.3.4   Evaluations of teaching should state the basis for the assessment (e.g., student feedback, peer review, classroom or laboratory visits by the Head or equivalent). It is helpful to members of the FMC if the Head or equivalent outlines the extent, nature, and significance of an academic staff member's time commitment and contributions to teaching.

4.3.5   In assessing teaching activities, the Head or equivalent as well as the members of the FMC shall refer to criteria for teaching, as set out in Part B.1, and criteria established for teaching for academic staff members in different ranks and streams, as set out Part B.2.

4.3.6   In assessing teaching activities, supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and/or other trainees, mentorship, the participation on supervisory committees, and/or serving as an external examiner, shall be considered where applicable.

4.4   Criteria for Assessing Service Activities

4.4.1   Service is an important function of the work academic staff perform at the University. Service activities move the institution forward through collegial governance, advance academic disciplines, and impact communities and society. Academic staff members also perform important administrative tasks that may not be subject to a formal appointment; this work should be recognized and assessed as a contribution to service.

4.4.2   In evaluating service contributions, the Head or equivalent should assess the information provided by the academic staff member on the nature and type of service activities, the time commitment, significance, and impact of these service activities, and include into the written assessment.

4.4.3   In assessing service activities, the Head or equivalent and the members of the FMC shall refer to criteria for service as set out in Part B.1, and criteria established for service contributions for academic staff members in different ranks and streams as set out in Part B.2.

PART C

Academic Appointments Selection Procedures, Position Posting, Expedited Procedures for <mark>*Dual Career*</mark> ~~*Spousal*~~ *and Strategic Hiring, Equitable and Inclusive Hiring Initiatives*

1.   General Considerations

The University of Calgary is strongly committed to an equitable and inclusive campus, and recognizes that a diverse faculty, including Indigenous faculty, benefits and enriches the work, learning, and research experiences of our campus and the greater community. The University is committed to removing barriers that impede access to, and success within, the academy, and strives to recruit individuals who will further enhance the diversity of the campus community. Academic Appointment Selection Committees will identify and address systemic barriers as they manifest themselves in the hiring process, and actively work to eliminate them.

2.   Position Posting

The objective of an Academic Appointment Selection process is to appoint highly qualified, excellent, and diverse candidates to the University who have the potential and/or track record to become exceptional, recognized scholars. For all appointees to realize their full potential at our university, we will foster and promote guiding principles of **inclusive excellence** – recognizing the integral relationship between diversity and quality in research & scholarship, teaching, and service. It envisions diversity and quality as *"two sides of the same coin."* Inclusive excellence also addresses the critical role that diversity of identify, background, and perspective play in harnessing creativity and innovation, and the importance of building an inclusive and collegial community.

2.1   Faculty Guidelines will direct the responsibility for drafting a position posting to any one of the Dean's office, the Head or equivalent, the Academic Appointment Selection Committee or its Chair (see Part A.3.7.xviii.); however, final approval of the posting by the Dean, or Vice-Dean is required before publication. In Academic Units outside of Faculties, the position drafting, and approval will reside with the Dean.

2.2   Prior to the commencement of candidate interviews for a position, the position shall be advertised for a minimum of 30 days outside of the University. In order to bring the Position Posting to the attention of a diverse pool of applicants, faculties should consider conventional venues (e.g., national university news publications, discipline-specific professional organizations, or other academic publications), as well as unconventional venues such as social media, job portals, and electronic mailing lists (e.g., listservs) to which members of equity-deserving groups subscribe.

2.3   The language of the position posting shall strive to be unbiased and free from gender or group stereotypes.

2.4   The individual identified in Part C.2.1, drafts the Position Posting which shall normally include:

    i.   the intended Home Unit and Conjoint Unit(s) where applicable,

    ii.   rank and stream as well as type of appointment. Where multiple ranks or streams are to be considered, the position posting shall normally state such at the outset,

    iii.   anticipated effective date of appointment,

iv.   a description of the nature of the position and associated responsibilities,

v.   a description of the qualifications, skills and achievements required for the appointment, and presented in an objective, equitable and inclusive way ~~in order~~ to attract a diverse applicant pool, based on criteria described in Part B.2,

vi.   closing date for receipt of applications (see Part C.2.2) or a statement that reflects that the Position Posting will close before the ranking of the candidates by the Academic Appointment Selection Committee or, an option for on-going recruitment until the position is filled,

vii.   an expectation of the information to be included with applications. This may include as relevant to the position, a current *curriculum vitae*, statement of teaching philosophy, statement of research interest, samples of scholarly work, and if applicable, an equity and reconciliation statement.~~,~~. Depending upon the required background, skills, and experience, a narrative statement or Most Significant Contributions may also be solicited.

viii.   information about the applicable Faculty, Department, and Unit, providing web links where available,

ix.   a statement that the position is available to a wide range of applicants, National and/or International applicants, where applicable,

x.   a statement ~~and~~ that while the search is seeking the best applicant for the position, by law, preference will be given to Canadian citizens or permanent residents, and,

xi.   a meaningful institutional Hiring Statement that: ~~expressing commitment to EDI and reconciliation, which shall be reviewed at least once every three years by the Vice Provosts, EDI and Indigenous Engagement, in conjunction~~, and administered by Human Resources,
- expresses commitment to EDIA
- encompasses recognition of indigenous engagement, truth and reconciliation, and
- includes reference to the principles of DORA.

2.5   A position for an Equitable & Inclusive Hiring Initiative shall <u>not</u> be advertised in advance of the approval process outlined in Part C.6 below.

2.6   The Dean may decide to engage a search firm to support the Committee in facilitating and broadening the search for candidates; in this case, all of the above requirements in Part C.2.4 must be followed. The Dean shall ensure that the search firm's process aligns with the University's commitments to EDIA and reconciliation.

2.7   At least once every three years, the Hiring Statement (see 2.4.xi) shall be reviewed by the Vice Provosts (EDI and Indigenous Engagement), and the Vice-President (Research), in conjunction with the Handbook Working Group and administered by Human Resources.

3. Selection Procedures for Continuing Academic Appointments – Teaching and Research Stream and Teaching-Focused Stream

Academic Selection and Appointment belong to the most important processes at the University.

Competing for the best, most talented, and promising faculty Nationally and Internationally, requires an efficient and time-conscious process to which all those involved in the search process must contribute ~~in order~~ to allow academic units to recruit and appoint their top candidates.

3.1 Academic Appointments Selection Committee Composition

3.1.1 All Academic Appointment Selection Committees are advisory to the Dean. Faculty Guidelines will assign who is responsible for the selection and appointment of the Academic Appointment Selection Committee. The Chair of the selection committee will confirm that the committee composition aligns with the Faculty Guidelines in discussion with the Dean, if the Dean is not the Chair.

3.1.2 A formal Academic Appointments Selection Committee of appropriate size~~,~~ shall be constituted and normally consist of the following:

i. Chair (voting only to break a tie): Dean or delegate (e.g., the relevant Head in departmentalized Faculties),

ii. three to five voting members either elected or appointed, as described in the relevant Faculty Guidelines, from the Continuing, Limited Term and Contingent Term academic staff members of the Home Unit, with a majority of these members holding a Continuing appointment,

iii. at least one voting member either elected or appointed as described in the relevant Faculty Guidelines, who holds an appointment as an academic staff member within the Faculty but is outside the affected discipline or Department, as applicable,

iv. at least one voting member who is a Continuing academic staff member from outside the Faculty and any applicable Conjoint Unit, either elected by Faculty Council or appointed by the Dean, as described in the relevant Faculty Guidelines. This Committee provides a perspective beyond the interests of the discipline or Faculty and has a particular role in observing both the fairness of the proceedings and appropriate application of criteria,

v. a graduate student or other trainee from the relevant discipline may be appointed by the Chair as either a voting or non-voting member, as described in the relevant Faculty Guidelines. If student representation on the committee is not required, Faculty Guidelines must describe a mechanism to account for informed student opinion or other forms of student feedback, and,

vi. if applicable to the hire, one or two additional members who do not hold an academic appointment may be appointed as either a voting or non-voting member, as described in the Faculty Guidelines. Such committee members (e.g., clinical appointees, *emeriti,* members of Deans' advisory council, industry experts, non-academic specialists within the unit, other community members, or Indigenous knowledge keepers) provide additional professional, cultural or community expertise that is not otherwise present in the committee makeup.

3.1.3 The number of Committee members from the hiring discipline(s) (as described in Part C.3.1.2. ii.) shall be greater than or equal to the number of Committee members from outside the

discipline(s) (as described in Part C.3.1.2.iii., iv., and vi.). The Dean can appoint additional members from the discipline to balance the Committee.

3.1.4   Where circumstances make it necessary to deviate from the committee composition outlined in Part 3.1.2 above, the committee makeup may be modified by the Chair, while endeavouring to remain as consistent with the above rules as possible. If the Chair is not the Dean, any such deviations are subject to confirmation by the Dean.

3.1.5   In the case of cross appointments, the Chair shall be drawn from the Home Unit, and the Committee members as described in Part C.3.1.2.ii. shall be evenly drawn from the Home Unit and Conjoint Units. In cases where the appointment is not evenly divided across Units, the proportion from Home and Conjoint Units shall reflect this.

3.1.6   In the case of an appointment where the academic staff member is likely to be seconded, the Faculty Guidelines may provide for one or two additional Committee members who are academic staff members of the receiving Department, Faculty or Unit.

3.1.7   Committee composition shall reflect the university's commitment to diverse representation that is inclusive, and with due consideration to ameliorating under-representation, and to the equity needs of the hiring unit(s). In the case of a lack of representational diversity on the Committee, the Chair (or Dean) may fulfil the mandate of appointing additional members as outlined in Part C.3.1.2.iii., iv., and vi.

3.1.8   Quorum shall be the majority of voting members on the Committee from the hiring discipline (as described in Part C.3.1.ii.).

3.2   Responsibilities of Academic Appointments Selection Committees

3.2.1   The Chair shall:

    i.   lead the Committee in all phases of the recruitment process,

    ii.   ensure compliance with University policies,

    iii.   act as the official spokesperson for the Committee,

    iv.   communicate to the Dean, the activities of the Committee, if the Chair is not the Dean,

    v.   communicate with candidates,

    vi.   communicate with individuals providing letters of reference,

    vii.   manage a proactive, timely, fair, and inclusive selection process in which all Committee members are encouraged to actively contribute,

    viii.   establish process and ground rules for the successful functioning of the Committee and promote a positive and collegial working atmosphere,

    ix.   determine any existing or potential conflict of interest of the Committee members, and make recommendations to the Dean as to how to manage such a conflict, if the Chair is not the Dean,

    x.   establish clear expectations with all Committee members regarding confidentiality of meetings, conflict of interest, and its management and documentation, EDIA and/or

Indigenous Engagement and/or DORA training requirements, the planned interviewing, ranking, and selection processes designed to select excellent academic staff, and the proposed timeline for screening, short-listing, and interviewing potential candidates.

3.2.2   The Committee members shall:

i.   collectively develop criteria for evaluating candidates prior to reviewing any applications, including criteria that articulate academic excellence as well as consider diversity and a broad range of career paths, including those of applicants not based in a typical academic trajectory, and/or diverse skill sets which may encompass research & scholarship, teaching, or service activities are outside of mainstream forms,

ii.   base criteria on Part B.1 and B.2 that describe research & scholarship, teaching, and service, and the expectations for academic staff in different ranks and streams,

iii.   rank criteria in order of weight and importance prior to screening applicants using an evaluation matrix,

iv.   be informed by a method to identify an applicant's skills, abilities, experience, and qualities,

v.   review and assess all applicant files using criteria formulated by the Committee,

vi.   develop a short list of candidates,

vii.   develop a final ranking process for interviewed candidates based upon established relevant criteria and that identifies candidates' suitability for the position.

3.2.3   All members of the Committee have a responsibility to ensure the fairness of the proceedings, the appropriate application of criteria, and the reduction of implicit, overt and/or other types of bias and/or discrimination. The proceedings shall be inclusive and recognize practices that reflect EDIA communities, shared space, cultural safety, and intercultural capacity. Diversity of opinions from Committee members shall be welcomed and respected at all times. Any concerns regarding process shall be introduced and discussed at the Committee. All Committee discussions shall remain confidential.

3.2.4   At least once every two years, all members of the Committee shall be required to participate in training around EDIA and Indigenous engagement ~~training~~ as well as DORA and its principles.

3.3   Short-listing of Candidates

3.3.1   An initial short-listing of candidates based on previously established criteria may be determined at any time, provided that the vacancy has been advertised for a minimum of thirty (30) days, as described in Part C.2 Position Posting.

3.3.2   After the Committee has prepared a short-list of qualified candidates, and before the Committee proceeds to the interviewing stage, the Dean will be provided with the short-list for consideration and approval to move ahead. The Committee members are required to retain confidentiality around the short-list of qualified candidates, until or unless the list is made public.

3.3.3   The Committee Chair shall solicit confidential written references (normally three are required) for all short- listed candidates, commenting on factors relevant to the position.

3.4 Candidate Interviews

3.4.1 The interviewing process shall provide for access to the candidate(s) by the members of the relevant Faculty, Department or discipline(s) including a mechanism to solicit written feedback. All such written feedback shall be reviewed and accorded appropriate weight by members of the Committee. Candidates will be informed that members of the relevant Faculty, Department or discipline(s) will be provided access to the candidates' *Curriculum Vitae.*

3.4.2 The Committee shall develop a core set of position-related interview questions designed to identify academic excellence, on which each candidate's evaluation will be based. Normally, these questions should be asked of all candidates during the committee interview to ensure consistency and to allow comparative judgments to be made. Behaviour-based questions are considered the norm, which means that hypothetical questions should largely be avoided in favour of questions that the candidate can answer by relying on past experience and examples. Committee members are not permitted to ask questions relating to protected grounds under the *AHRA*, except as otherwise permitted by law.

3.4.3 The Committee shall ensure that all candidates have the opportunity to ask questions outside the formal interview process.

3.4.4 Good stewardship is essential during the interview process. To this end, candidates shall be provided with a chance for confidential discussions with Faculty and/or Staff members not directly involved in the search, who can provide information about schools, housing, childcare, places of worship, or any other types of information that might be needed for a candidate to envision themselves joining the community. Candidates may be introduced to Faculty members with similar research interests, if applicable.

3.4.5 All candidates shall receive the same tailoring of visits, and principles of equity, fairness and transparency shall be followed. If candidates require alternative arrangements, such arrangements will be accommodated, wherever possible. Specifically, candidates will be informed of:

i. the duration of the interview, who the panel members will be, and the types of questions that will be asked,

ii. the components of the interview (e.g., a public research presentation, a teaching lecture, an interview with the Committee, meeting with staff and students, meeting with the Dean's office),

iii. a detailed itinerary for their interview,

iv. the fact that career breaks for family or medical needs, or community responsibilities including Indigenous Engagement, will not negatively impact the hiring decision, and,

v. respect for, and adherence to, the duty to accommodate.

3.5 Final Ranking of Candidates

3.5.1 A final ranking process shall be applied to interviewed candidates who have been deemed by the Committee to have met the requirements for the position and considered to be excellent

candidates for the position. This ranking process shall:

i.   consider that the best-qualified candidates may not have the most years of experience, greatest number of publications, or largest number of academic accomplishments. For example, many candidates may have articles published in non-peer reviewed journals on important issues, produce research to meet community needs for future generations of Indigenous peoples, or may be a recently appointed post-doctoral scholar with fewer accomplishments compared to one who has completed one or more post-doctoral scholarship positions,

ii. fairly assess research and scholarship activities that may be considered outside of the mainstream of the discipline, meeting criteria outlined in Part B,

iii. be aware that top-tier, mainstream platforms and venues and/or competitive research funding may not be available to scholars in particular and emerging fields of study,

iv. be mindful to avoid potential risks in using the concepts such as "fit" or "non-hire ability" which may lead to discrimination against equity-deserving groups and encourage indulgence in personal bias,

v.   grant due consideration of any accommodations, leaves, career interruptions, or changes in career path.

3.5.2   The final ranking by the Committee shall remain confidential.

3.5.3   If a Committee concludes that no interviewed candidates meet the above-mentioned qualifications, there will be no final ranking and no recommendation for appointment.

3.6   Recommendation of Appointment

3.6.1   At the conclusion of the process, the Committee Chair will recommend to the Dean the top-ranking candidate along with a list of those candidates that met the requirements for the position. The Chair will provide a written report on the process that led to the selection of the top-ranking candidate along with those that met the requirements for the position. The written report should include the position posting, criteria established prior to interviewing candidates, interview questions, how EDIA and Indigenous Engagement as well as the principles of DORA were addressed, and a rationale for the recommendation of the top-ranking candidate over the other candidates who met the requirements of the position but were not selected. The Dean shall consult with the Chair and the Department Head, as appropriate.

3.6.2   In certain circumstances in which the proposed hire currently holds an appointment *With Tenure at a different University,* an Academic Appointment Selection Committee may recommend to the Dean, that the appointment be made *With Tenure* when considered in accordance with Articles 1.8 and 28 of the *Collective Agreement*.

3.6.3   A Committee may choose, for good reason, to recommend no candidate to the Dean. The Dean may reconsider the parameters for the position including reposting, reconsidering qualifications, rank or stream.

3.6.4   The Dean may recommend the appointment of a candidate who was not the top-ranked

candidate from the pool of interviewed candidates who have been deemed by the Committee to have met the requirements for the position. If the Dean's recommendation differs from the advice received from the Academic Selection Committee, the Dean shall inform the Provost & Vice-President (Academic) and the members of the Committee and provide a rationale for their decision.

3.7 Letter of Appointment

3.7.1 During appointment negotiations and prior to the signing of the letter of appointment, individuals recommended for Continuing, Contingent Term, or Limited Term appointments must declare any employment obligations to, and appointments with, any other institution or organization, if these obligations or relationships will remain in effect after the commencement of their appointment to the academic staff of the University of Calgary. Individuals must also declare any relationships with other individuals, institutions, or organizations which could lead to an actual, potential or perceived conflict of interest.

3.7.2 Notwithstanding any prior correspondence with the Dean or Department Head, if applicable, only the President or designate [e.g., Provost and Vice-President (Academic)] may provide the official and binding letter of offer of an academic appointment to the candidate on behalf of the Board of Governors. This letter of appointment shall specify terms and conditions of employment and include an outline of the general duties and responsibilities.

3.7.3 When an academic staff member is to hold an appointment in more than one Faculty, Department, or Unit, the letter of appointment shall include provisions as outlined in Part A.3.6, as appropriate.

3.7.4 When an academic staff member is appointed to a unit that is not a Faculty or equivalent, and has no recognized Faculty Guidelines, the letter of appointment shall clearly state the duties of the position and the initial criteria against which performance shall be assessed.

3.7.5 In the case of a joint or transdisciplinary appointment involving more than one Faculty:

i.   the Provost shall determine which Faculties Guidelines shall be used for the purposes of hiring,

ii. the letter of appointment shall indicate which Faculty and Department (where applicable) shall be considered the Home Unit for the purposes of tenure, promotion, and merit assessment (see also Part C.3.7.3). Where appropriate, this may include reference to the proportion of duties across the various Faculties/Departments,

iii. the Home Unit shall consult with all other Faculties/Departments involved in the joint or transdisciplinary appointment in making recommendations related to tenure, promotion, or merit assessment.

3.7.6 In the case of a joint or transdisciplinary appointment involving more than one Department within a single Faculty, the letter of appointment shall indicate which Department shall be considered the Home Unit for the purposes of tenure, promotion, and merit assessment and the proportionate distribution of duties (where appropriate).

3.7.7　In the case of an appointment where the individual is likely to be seconded within the University, either on a full or part-time basis, the length and percentage of the secondment shall be included in the letter of appointment whenever possible. The Home Unit shall consult with the Department, Faculty or Unit where the academic staff member is seconded for the purposes of tenure and promotion, as well as merit assessment.

3.8　Record Management

3.8.1　All official records from an Academic Appointment Selection Process shall be retained by Human Resources for two years and shall include complete records of all stages of the recruitment and selection process for each academic appointment, including selection criteria, copies of advertisements, publication venues, an outline of the active recruitment methods employed, copies of applicants' *Curricula Vitae*, and letters of recommendation. Personal meeting notes, recordings, and working materials will be destroyed upon conclusion of the hiring process.

3.8.2　Relevant official records outlined in Part C.3.8.1 may be made available to the Provost & Vice-President (Academic) and the applicable Vice Provost (EDI or Indigenous Engagement) upon request as appropriate, consistent with aggregated data analyses.

3.9　Applicant Concerns

An applicant may write to the Provost & Vice-President (Academic) regarding concerns related to AHRA legislation and may send a copy to the Faculty Association. After appropriate review and consultation, the Provost & Vice-President (Academic) may take whatever action, if any, is deemed necessary.

4.　Selection Procedures for Academic Appointments – Administrative and Professional and Outside of Faculties

4.1　In the case of Library and Cultural Resources and Student and Enrolment Services, if the Faculty Council recommends a deviation to the procedures outlined in Part C.3 in their Faculty Guidelines, the Provost & Vice President (Academic), after consultation with the Faculty Association, will decide upon such deviations (see also Part A.2.8).

4.2　For all academic staff outside of a Faculty (defined in Part A.1.ix.), the appropriate Senior Administrator shall establish an Ad Hoc Selection Committee with procedures that shall adhere to the principles set out in Part C.2. to C.3., to the extent possible under the circumstances of the position. The external member shall be drawn from a different organizational unit.

4.3　The members of the Ad Hoc Selection Committee, a majority of whom shall hold academic appointments, shall be appointed by the appropriate Senior Administrator in a manner consistent with the principles of Part C.2. to C.3., while recognizing the operational necessities of the position.

4.4　The procedures of the Ad Hoc Selection Committee shall be approved by the Provost & Vice-President (Academic) or delegate before the position is posted.

4.5   In situations when the selection process is for a senior position, the Ad Hoc Selection Committee may recommend that the appointment be made *With Tenure*. In such cases, the Committee must make its recommendation based on the career history of the applicant and relevant criteria for the appropriate rank and stream and requirements for tenure, as described in Part B.1. to B.3. and in accordance with Articles 1.8 and 28 of the *Collective Agreement.*

4.6   An appointment *With Tenure* may be made upon appointment only if so recommended to the Senior Administrator by the Ad Hoc Selection Committee.

4.7   External competition for academic staff positions outside of Faculties may ~~is~~ not normally be required where the promotion of an individual represents a normal career path. Internal advertising of the opportunity is, however, required.

5.   Expedited Extraordinary Procedures for ==Dual Career== ~~Spousal~~ and Strategic Hiring

5.1   From time to time, it may be in the University's best interest to act expeditiously ~~in order~~ to be able to make an offer of employment for a ==Dual Career== ~~Spousal~~ Hire or a Strategic Hire. In such cases, and subject to the requirements and limitations outlined in Part C.5.4 below, the expedited hiring procedures shall be considered equivalent to, and used *in lieu* of, the aforementioned formal Academic Appointment Selection procedures.

5.2   ==Dual Career== ~~Spousal~~ Hires (see definitions of Primary and ==Dual Career== ~~Spousal~~ Hires in Part A. 1)

5.2.1   The following conditions for in ==a Dual Career== ~~Spousal~~ Hire must be met in order to apply the expedited hiring procedures outlined in Part C.5.4:

   i.   the primary purpose of a ==Partner== ~~Spousal~~ Hire is to assist in recruiting or retaining a Primary Hire (as defined above in Part A.1),

   ii.   no Limited Term, Contingent Term, or Continuing academic appointment suitable for the ==Partner== ~~Spouse~~ is posted, and,

   iii. the ==Partner== ~~Spouse~~ meets or exceeds criteria described in Parts B.2. to B.3.

5.2.2   For a ==Partner== ~~Spousal~~ Hire, neither job description nor Position Posting is required. The candidate is expected to meet the requirement of the rank and stream of the position.

5.3   Strategic Hires (see definition in Part A. 1)

5.3.1   Before commencing any expedited procedures described in Part C.5.4 for a planned Strategic Hire, the Dean of the Home Unit (into which the Strategic Hire is to be recruited) shall provide details in writing to the Provost and Vice-President (Academic) as to how the Strategic Hire meets the requirements set out below in Part C.5.3.2. and why the hire cannot be recruited using the normal recruitment procedures outlined above (see Part C.2 to C.3).

5.3.2   The expedited hiring procedures outlined below in Part C.5.4 may only be used in extraordinary

circumstances and when the proposed Strategic Hire cannot be hired under the normal procedures:

i.   has unique expertise that has resulted in exceptional impact on their discipline or field and is of a calibre equivalent to international standing,

ii.   has demonstrated unique research and scholarship, teaching activities and/or scholarly engagement that has resulted in a broad, heightened awareness of the perspectives of either Indigenous peoples or other equity-deserving groups in the community at large,

iii.   is expected to achieve significant breakthrough discoveries and/or exert cutting-edge impact on the discipline, unit and University,

iv.   will bring significant resources and/or partnerships to the University,

v.   will accelerate the goal of the University to differentiate itself in a signature area of focus, or,

vi.   fulfills an urgent and strategic need for the position.

Examples include:

a.   an individual at the highest rank of Professor or ~~Teaching~~ Professor (Teaching) whose reputation and international stature would significantly enhance the profile of the University,

b.   an individual who brings to the University a unique and highly sought-after expertise related to an innovative, ground-breaking, cutting-edge area of research and scholarship, professional or technical expertise, industry or community partnerships, or creative and professional achievement that will bring world-class recognition to the University, or,

c.   an individual who has been publicly recognized, nationally or internationally, for the impact of their scholarship on EDIA, Indigenous Engagement, and/or social justice.

5.4   Expedited Procedures for Dual Career ~~Spousal~~ and Strategic Hires

5.4.1   In all instances of Dual Career ~~Spousal~~ and Strategic Hires, these expedited procedures may be either:

i.   requested by a Dean and put forward to the Provost & Vice-President (Academic), or

ii.   initiated by the Provost & Vice-President (Academic).

A decision by the Provost regarding the application or initiation of expedited procedures shall be provided in writing to the relevant Dean.

5.4.2   Regarding Strategic Hires the office of the Provost & Vice-President (Academic) will report annually to the ~~Academic Staff Criteria and Processes~~ Handbook Working Group the number of applications from each Faculty, and for those approved, the associated timeline, the circumstance under which the hire was initiated, and the context of the decision regarding the hire; for those declined, the reason for the decision. An analysis of the report shall also be provided to GFC on an annual basis. The ~~Academic Staff Criteria and Processes~~ Handbook

Working Group will periodically review the necessity of this clause.

5.4.3   The committee composition requirements for a Partner Spousal or Strategic Hiring Committee (hereafter referred to as the "Hiring Committee") shall be the same as the requirements outlined in Part C.3.1, with the addition of one non-voting Faculty Association member who shall be required for *quorum*. At the discretion of the Chair, a resource person from Human Resources may also be invited to attend and advise on procedural matters.

5.4.4   In the case of a Dual Career Spousal Hire where the Partner Spouse is to be in the same Home Unit as the Primary Hire, the Committee shall not normally include any member of the Academic Appointment Selection Committee used for the Primary Hire.

5.4.5   For a Dual Career Spousal or Strategic Hire, the Dean shall notify the Hiring Committee of the projected timing of the process. The Dean shall also provide (a) copies of these procedures, (b) the implication the proposed Hire would have with respect to other future hires in the Faculty, Department, or Unit, and (c) whether it is considered a regular hire or an additional hire (i.e., outside the Unit's hiring agenda).

5.4.6   By a date specified by the Dean, it will be the responsibility of the candidate to supply the information deemed relevant to the hire. For example, a *Curriculum Vitae*, teaching portfolio, an equity and reconciliation statement (in a format preferable to the candidate), references (in written or oral form), and/or evidence of scholarly work. In the case of an Indigenous Strategic Hire, evidence of the candidate's engagement of, or connection to, Indigenous community or communities may be required. This information shall normally be made available to the Hiring Committee for no less than three working days.

5.4.7   A Hiring Committee may recommend to the Dean that the appointment be made *With Tenure*. In such cases, the Hiring Committee shall must make its recommendation based on the career history of the applicant when considered in accordance with Articles 1.8 and 28 of the *Collective Agreement*, and in conjunction with the requirements for rank and stream outlined in this Handbook.

5.4.8   Any deviation(s) to Articles 1.8 and 28 of the Collective Agreement with respect to appointments made *With Tenure* must be first approved by the Provost & Vice President (Academic), after consultation with, and agreement by the Faculty Association.

5.4.98 The Dean shall arrange for a presentation to either the Home Unit or, depending upon the circumstances of the hire, to the Hiring Committee. The Dean shall also arrange for an interview with the Hiring Committee and may provide opportunities for informal meetings with interested members of the Home Unit.

5.4.109 Following the candidate's presentation, the Dean, Head or equivalent, shall solicit written comments related to the candidate's background, skills, and experience, from the members of the Hiring Committee and, if appropriate from academic staff members of the Home Unit, normally to be provided within three working days. All written comments shall be made available to the Hiring Committee in a timely manner, so that All such written feedback shall be reviewed

and accorded appropriate weight by members of the Hiring Committee.

5.4.110 In the case of a Strategic Hire where the candidate needs to remain confidential, or a Dual Career Spousal Hire where the Primary Hire's candidacy needs to remain confidential (e.g., recruitment for a position on the university's Senior Leadership Team), appropriate steps will be taken to ensure confidentiality for those involved in the Strategic Hire or Dual Career Spousal Hire. In the case of a Dual Career Hire, with reference to the Partner Hire, it is recommended that the Primary Hire (see Part A. 1.1.xiv) be discouraged from participating in the processes outlined in 5.4.8 – 5.4.9 for other candidates.

5.4.121 As soon as possible after the provisions outlined above have been carried out, the Dean of the Home Unit shall convene a meeting of the Hiring Committee to consider the proposed hire and to make its recommendation. The Hiring Committee shall take into account criteria as outlined in Part B, as appropriate.

6. Equitable & Inclusive Hiring Initiatives

6.1 The University is committed to equitable and inclusive hiring practices consistent with the principles of EDIA and Indigenous Strategies in order to achieve diverse representation in its academic staff. From time to time, the University may wish to engage in an Equitable & Inclusive Hiring Initiative in accordance with the *AHRA*.

6.2 An Equitable & Inclusive Hiring Initiative (see also Part A.1.1.ixviii.) means any job competition that gives preference to, or is only open to, one or more equity-deserving groups with the objective of amelioration, in accordance with the *AHRA*. In the case of a *bona fide* occupational requirement, the same procedures will apply.

6.3 The Deputy Provost, a Vice Provost, or a Dean may propose an Equitable & Inclusive Hiring Initiative which requires approval by the Provost and Vice-President (Academic).

6.4 The following information must accompany a request for the Provost's approval of an Equitable & Inclusive Hiring Initiative:
   i.   An outline of the proposed initiative and its objective (e.g., decreasing under-representation, supporting community-engaged scholarship, developing certain areas of research),
   ii. A summary of evidence supporting the need for the initiative (e.g., University EDI data and/or local, provincial, and/or National data relevant to the proposed initiative),
   iii. Any proposed adjustments to the Position Posting and Academic Appointments Selection Committee,
   iv. Confirmation of consultation with Human Resources, Labour Relations, and the Faculty Association, as well as the Vice Provost (Indigenous Engagement) and/or Vice Provost (EDI), and a brief summary of those consultations,
   v.   The proposed Position Posting that clearly articulates the range of candidates to whom the position is open,
   vi. Any other information that the Provost & Vice-President (Academic) deems necessary to evaluate the proposed initiative.

6.5   Once an Equitable & Inclusive Hiring Initiative has been approved, the Academic Appointment Selection Committee will be selected as described in Part C. 3.1. Once the Academic Appointment Selection Committee is in place, the procedures outlined above in Part C. 3.2 to C. 3.9 shall be followed. The language of the proposed Position Posting listed in Part C. 6.4.v. above, may, however, be revisited by the Committee before being released for publication.
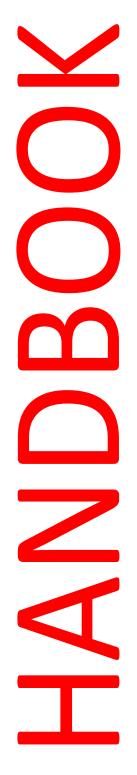
7.   Other Appointments

7.1   Special Limited Term Appointment

In cases where time constraints or other circumstances do not permit the use of the extraordinary procedures for a Partner Hire as described in Part C.5.2, a special Limited Term appointment may be offered [as per *Collective Agreement* Article 1.6.f)]. In this instance, the Special Limited Term appointment shall be a non-renewable one-year term, and the offer may be made without satisfying the normal advertising and selection requirements. At the conclusion of the one-year term, the special Limited Term appointment will lapse. During or immediately following the one-year term, the Dean of the Home Unit may initiate a new process for expedited hiring as described above. The incumbent may at any time become a candidate for any position that may become available and be advertised in accordance with the normal procedures for selection and appointment as outlined in Part C.2. and C.3.

7.2   Conversion of Contingent and Limited Term Appointment

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

i.   a Continuing position has been allocated to the Home Unit for the same purpose in the same discipline as the Contingent Term appointment,

ii.   the incumbent was originally selected according to the competitive procedures of Part C. or by a process approved in advance by the Provost & Vice-President (Academic) as being equivalent to the procedures in Part C, and,

iii.   the incumbent has received assessments in the normal manner, that have acknowledged satisfactory performance of the normal range of duties expected of a Continuing academic appointee according to criteria in Part B,

iv.   in the case of Limited Term appointments only, all circumstances under Article 1.6(c) of the *Collective Agreement* have been removed.

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

HANDBOOK

UNIVERSITY OF
CALGARY

GFC Academic Staff Criteria & Processes Handbook

as approved by

The General Faculties Council

Clean Copy Showing revisions

Preamble

*This Handbook has been developed to assist academic staff to understand **criteria** necessary for academic progression between and within ranks, including requirements for transfer, renewal, tenure, and promotion, as well as merit assessment. Details regarding **processes** for academic appointments selection are also detailed herein, to guide selection committees in recruiting highly qualified individuals based on the principles of inclusive excellence.*

The University of Calgary is a research-intensive institution committed to discovery, creativity, and innovation with aspirations for excellence, achievement, and high academic standards. To this end, the University provides leadership to society and guides the evolution of new ideas that contribute to quality of life for Albertans, Canadians, and people worldwide.

The University values epistemic pluralism (different ways of knowing) and the pursuit and creation of knowledge and diverse knowledge traditions. Striving for scholarly advancement in all disciplines, the University is committed to advancing innovation, discovery, entrepreneurship, and knowledge engagement, to the benefit of our communities. In its commitment to innovative teaching and learning, the University educates the next generation to tackle society's challenges in a diverse and increasingly complex world.

The Handbook's contents shall be applied as consistent with the principles of due process, and balance procedural transparency as well as the protection of an individual's right to privacy. As well, the Handbook's contents should allow for flexible interpretation to achieve fairness towards all academic staff members.

The University of Calgary is committed to equity, diversity, inclusion, and accessibility, and to reconciliation and Indigenous engagement. The contents of this Handbook shall also be applied in the spirit of addressing barriers that have been, and continue to be, encountered by equity-deserving groups including, but not limited to women, Indigenous peoples racialized / visible minority persons, persons with disabilities, and LGBTQ2S+ persons.

By creating and maintaining a positive and respectful environment, the University promotes a culture of inclusion and a campus free from harassment, bullying, and discrimination. Indigenous ways of knowing, doing, connecting and being shall also be promoted and respected by maintaining shared ethical spaces inclusive of Indigenous peoples. In this way, all members will have the greatest potential to thrive and welcome the freedom to learn, experience, investigate, comment, critique, and contribute to society locally, nationally, or internationally.

Table of Contents

PART A

Definitions, Authority, Faculty Guidelines, Transitional Provisions

1.   Definitions

1.1   For the purposes of this Handbook, the following definitions apply (listed alphabetically):

i.   "AHRA", stands for the Alberta Human Rights Act.

ii.   "Collective Agreement" means the *Collective Agreement* between the Governors of the University of Calgary and the Faculty Association of the University of Calgary in force at the time the provisions of this Handbook are being applied.

iii.   "Conjoint Unit" refers to the Faculty, Department or Unit that a cross-appointed academic appointee will join as part of their secondary affiliation.

iv.   "Dean" means the Dean, or Dean equivalent of a Faculty as defined in x.

v.   "DORA" stands for the Declaration on Research Assessment and recognizes the need to improve the ways in which research and scholarship is evaluated.

vi.   "Dual Career Hire" refers to the hiring of two parties of a marriage or equivalent who both have the qualifications to hold an appointment as an academic staff member and who desire to do so.

vii.   "EDIA" stands for equity, diversity, inclusion, and accessibility.

viii.   "Equity-Deserving Groups" are communities that experience significant collective barriers in participating in society. These barriers may encompass attitudinal, historical, social, and environmental barriers based on prohibited grounds as outlined in the AHRA.

ix.   "Equitable & Inclusive Hiring" refers to programs designed to meet the requirements outlined in Section 10.1 of the AHRA which states:

"*It is not a contravention of this Act to plan, advertise, adopt or implement a policy, program or activity that*:

(a) *has as its objective, the amelioration of the conditions of disadvantaged persons or classes of disadvantaged persons, including those who are disadvantaged because of their race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status or sexual orientation; and,*

(b) *achieves, or is reasonably likely to achieve, that objective".*

x.   "Faculty" refers to the following (listed alphabetically): Arts, Cumming School of Medicine, the Haskayne School of Business, Kinesiology, Law, Libraries and Cultural Resources, Nursing, the School of Architecture, Planning and Landscape, the Schulich School of Engineering, Science, Social Work, Student and Enrolment Services, Veterinary Medicine, and the Werklund School of Education.

xi.   "Faculty Guidelines" refer to the guidelines pertaining to academic staff criteria and processes that Faculties develop, as set out in this Handbook.

xii.   "Home Unit" means the Faculty (and Department for Departmentalized Faculties) where all or a majority of an appointment is held.

xiii. "Partner Hire" refers to the partner of a marriage or equivalent such as an established unmarried relationship, of a Primary Hire who has the qualifications to hold an appointment as an academic staff member and who desires to do so.

xiv. "Primary Hire" means the partner of a marriage or equivalent who:

    a. has been recommended for an offer of appointment in accordance with the procedures outlined in this Handbook,

    b. currently holds a Limited Term, Contingent Term or Continuing academic appointment or,

    c. has been recommended for, or holds, either a non-academic or a Senior Leadership Team position.

xv. "Strategic Hire" refers to specific individuals who will bring the greatest possible recognition to, and/or significantly enhance the reputation of, the University because they meet one or more specific criteria (outlined in Part C.5.3), and cannot be recruited using the normal procedures.

xvi. "Transdisciplinary" means an appointment across one or more Units.

2. Authority and General Considerations

2.1 Within this Handbook, criteria for Renewal, Transfer, Tenure and Promotion, and Merit Assessment, are established by the University's General Faculties Council (GFC) pursuant to Articles 28.4 and 29.2 of the *Collective Agreement* between the Faculty Association of the University of Calgary and the Governors of the University of Calgary. GFC also has the authority to approve procedures related to appointments pursuant to Section 22(2) of the Post-Secondary Learning Act.

2.2 Part B of this Handbook describes criteria for Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment. Part C of this Handbook describes Academic Appointment Selection Procedures. Criteria outlined in Part B of this Handbook shall also apply to criteria pertaining to the appointment of academic staff members as outlined in Part C.

2.3 The Academic Appointment and Selection Procedures laid out in Part C of this Handbook shall apply to all Continuing, Contingent, and Limited-Term appointments.

2.4 Only criteria established or authorized by the GFC or provided within the *Collective Agreement* shall be considered in matters relating to Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment.

2.5 With respect this Handbook, all parties shall be governed by Article 7.1 of the *Collective Agreement* of the *Collective Agreement* which currently states: *"The Parties agree that the Governors, the Association, and the members of the Association shall not discriminate against any member of the academic staff, University staff or students by reason of race, political or religious affiliation or beliefs, colour, sex, sexual orientation, gender, gender identity, gender expression, physical characteristics, physical or mental disability, marital status, family status or family relationships, age, ancestry or place of origin, source of income, or membership or activity*

in the Association as provided under the terms of this Agreement."

2.6   Sessional and Retired Short-Term positions shall be appointed, reappointed, and/or assessed as applicable, according to provisions of the *Collective Agreement.*

2.7   Where senior leadership team members are to be appointed to academic positions, in accordance with the *"Policy on the Appointment and Reappointment of Deans"* and the *"Procedure for Adding an Academic Appointment to a Senior Leadership Team Position,"* such appointments must be made in accordance with those policies as approved by the GFC.

2.8   When the Provost & Vice-President (Academic) determines that it may be necessary to deviate substantially from the Academic Appointment Selection Process approved in Part C of this Handbook, the Faculty Association will be consulted. After such consultation, the Provost & Vice-President (Academic) shall decide the appropriate and fair way to proceed in each case and will inform the Faculty Association of the decision. The Provost & Vice President (Academic) will report the above cases annually to the Academic Staff Criteria and Processes Working Group to enable the Working Group to fulfil its responsibilities.

3.   Faculty Guidelines

3.1   For Renewal, Transfer, Tenure, Promotion, and Merit Assessment, Articles 28.4 and 29.2 of the *Collective Agreement* allow GFC to delegate to the Faculty Councils the creation of Faculty Guidelines to ensure that any discipline specific or distinctive aspects relevant to its faculty members are addressed.

3.2   Criteria outlined within this Handbook, may be refined and interpreted in Faculty Guidelines. Faculty Guidelines may not, however, create new criteria, or add to, contradict, or delete criteria, unless specifically authorized to do so within this Handbook.

3.3   Each Faculty Council is required to establish a formal Academic Appointment Selection Process for all appointments of more than twelve months' duration, as part of their Faculty Guidelines. This Academic Appointment Selection Process is intended to be advisory to the Dean and ensure that the recommendation for appointment given by the Dean to the Provost & Vice-President (Academic) has had the benefit of informed opinion from academic staff members.

3.4   The Academic Appointment Selection Process established in the Faculty Guidelines shall be structured in a manner appropriate to the specific Faculty while being consistent with University policies including any policies related to EDI.

3.5   The Academic Appointment Selection Process established in the Faculty Guidelines shall include and be based upon Part C.1 – C.5, below. Faculty Guidelines may refine and interpret the below listed Academic Appointment Selection procedures but may not create new procedures, or add to, contradict, or delete stated procedures, unless specifically authorized to do so within this Handbook**.**

3.6   In the case of a joint or transdisciplinary appointment, or secondment, the Home Unit shall consult with the other Department, Faculty, or Unit for the purposes of tenure and promotion,

as well as merit assessment (see also Part C.3.7.4 to C.3.7.7).

3.7   Faculty Guidelines <u>must</u> include a statement or description:

i.   of the relative importance that the Faculty attaches to University functions of research and scholarship, teaching, and service,

ii.   of how the Faculty interprets these functions (i.e., the various activities that the Faculty defines as legitimate and appropriate research and scholarship activities including creative and/or artistic activity),

iii.   of how the Faculty values knowledge engagement and transfer (the ways in which public and private sectors benefit from research), entrepreneurship, and innovation,

iv.   the relative weighting of the activities outlined in i., ii., and iii. as defined by the discipline or field, applicable to academic rank and stream,

v.   the ways in which the Faculty applies the DORA principles in assessing research and scholarship activities in Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment,

vi.   that clearly articulates any expectations with regard to different types of funding,

vii.   of how the Faculty assesses other duties such as clinical or professional responsibilities, where applicable,

viii.   of how the Faculty assesses contributions to service activities as well as administrative duties,

ix.   of how the Faculty assesses the information supplied within a Teaching Dossier (see also Article 28A of the *Collective Agreement*),

x.   that clearly articulates how and when the Faculty credits scholarly work in various stages of publication,

xi.   of expectations with respect to performance in each function by academic staff members, including the ways in which these expectations change within rank, and with seniority within a given rank (see Article 29.2.6 of the *Collective Agreement*),

xii.   of how academic and professional qualifications are applied in recommending Appointment, Renewal, Transfer, Tenure and Promotion, as well as Merit Assessment,

xiii.   that clearly articulates how accomplishments in research and scholarship, teaching, and service activities as well as any other assigned duties shall be translated into recommendations for Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment within the respective streams present in the Faculty,

xiv.   of how Faculty Guidelines address variations in applying criteria across units, where applicable, and consistent with Articles 29.5.6 and 29.7.4 of the *Collective Agreement*,

xv.   that clearly articulates the ways in which academic staff members shall be credited for activities carried out in other departments within the Faculty, and in other Faculties,

xvi.   of the ways in which the Faculty recognizes the diversity of different career patterns and the implications of such patterns for career progression and evaluation of progress,

xvii. of the ways in which the Faculty recognizes systemic barriers that may prevent academic staff members of equity-deserving groups from achieving career milestones such as Tenure and Promotion at the same rate and speed, as well as achievements through Merit Assessment. Examples of such barriers may include explicit and implicit service expectations, implicit bias and/or discrimination surrounding publication quality, community engagement as a pre-requisite for research and scholarship, and/or cognitive and implicit bias and/or discrimination, influencing application of criteria in Renewal, Transfer, Tenure, Promotion, and in Merit Assessment,

xviii. that clearly outlines where the responsibility lies for drafting a Posting (outlined in Part C.2) for an Academic Appointment Selection,

xix. of how a formal Academic Appointment Selection Committee (outlined in Part C.3.1) will be composed; in particular, how committee members will be elected and appointed from:

   a. within the Faculty but outside the discipline,

   b. from outside the Faculty,

   c. from outside the academy,

   d. how trainees may serve on the committee,

   e. how committee members will be appointed from a Faculty or Unit where an academic staff member is to be cross-appointed or seconded, and

xx. that establish procedures for Academic Appointment Selection according to Part C.

3.8   Changes to Faculty Guidelines shall not take effect until:

i.   approved by the Provost as being in compliance with this Handbook and the *Collective Agreement,*

ii.   a copy is provided to the Faculty Association, and,

iii.   the changes are posted on the Provost's website.

3.9   Following approval by the Faculty Council, and completion of the steps outlined in Part A.3.8, the Dean shall make the approved Faculty Guidelines available to all academic staff members in the Faculty such approved Faculty Guidelines on the manner in which criteria for Appointment, Renewal, Transfer, Tenure and Promotion, and Merit Assessment shall be applied within the Faculty.

4.   Transitional Provisions

4.1   For the purposes of Merit Assessment, changes made to criteria within this Handbook and/or the relevant Faculty Guidelines shall only apply from the approved date forward.

4.2   For the purposes of applying for Renewal, Transfer, or for Tenure, as set out in Article 28 of the *Collective Agreement*, an academic staff member may choose to be evaluated under current approved criteria in both this Handbook and Faculty Guidelines, or those in place at the time of appointment. An academic staff member who applies for promotion not linked to an application for tenure may choose to be evaluated under current approved criteria in both this Handbook

and Faculty Guidelines, or under criteria in effect three years prior to the promotion application date, or the date of hire, whichever is later.

PART B

Criteria for Appointment, Renewal, Transfer, Tenure, Promotion, and Merit Assessment

1. Criteria for Research and Scholarship, Teaching, and Service

In keeping with the commitment of the University of Calgary to the San Francisco Declaration on Research Assessment (DORA), research and scholarship activities shall be evaluated based on the quality of the research and scholarship,[1] relying on robust tools and approaches to assessing research quality and impact, rather than on bibliometrics alone. This includes considering the merit of all research and scholarship outputs as well as a broad range of qualitative impact indicators such as influence on policy and practice.

1.1 General Considerations

1.1.1   It is the responsibility of all academic staff members to contribute to a climate in which diversities of opinion and views are valued. This will enable all to participate in decision making and advancing the goals of the University.

1.1.2   The functions of the University include research and scholarship, teaching, and service and shall be evaluated as part of Renewal, Tenure and Promotion (see Part B.3) and included in Merit Assessment (see Part B.4). In some instances, academic staff members may undertake clinical responsibilities or other professional activities and/or duties that go beyond these three categories, reference to and assessment of which, may also be included in Faculty Guidelines (see Part A.3.7). General criteria for ranks and streams as well as Professional or Administrative appointments are set out in Part B.2 below.

1.1.3   Within the context of Part B 1.1.1 above, and the requirements of the *Collective Agreement* Article 29.2.2, it is recognized that the nature of research and scholarship, teaching, and service and the proportional distribution of expectations for fulfilling these functions shall vary from Faculty to Faculty. There shall be generally consistent application of these considerations within each Faculty.

1.1.4   It ~~also~~ recognized that activities within these functions may focus on ethical obligations to build and maintain community relationships in addition to the pursuit of research and scholarship.

1.1.5   It is also recognized that instances may arise where research and scholarship and/or teaching and/or service activities of academic staff members have been substantially impacted by a *Force Majeure* event or circumstance that is caused by, or results from, acts or circumstances beyond their control. Such a *Force Majeure* includes, without limitation, acts of God, acts of war, terrorist threats or acts, riots, fires, floods, hurricanes, typhoons, earthquakes, epidemics, or pandemics. In such instances, the relevant evaluation bodies (e.g., Department Head, FTPC) shall duly consider the effects of the *Force Majeure* when assessing the academic progression of the academic staff member(s) so impacted.

1.2 Research and Scholarship

1.2.1   Research and scholarship are major University functions. The primary concern of academic staff

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[1] https://sfdora.org

members and the University shall be the importance of high-quality research and scholarship and/or other creative or professional activities.

1.2.2   Research and scholarship and/or other creative or professional activities *may* include:

i.   fundamental research that creates new knowledge including research creation and creative practice,

ii.   integration of knowledge which involves the synthesis of information across disciplines, and across topics within a discipline; research that involves entrepreneurship and/or innovation,

iii.   systematic study of teaching and learning processes, including the scholarship of teaching and learning,

iv.   application of knowledge to critically analyze texts, identify or solve a compelling problem in the community-at-large or challenge in society including knowledge engagement and transfer (the ways in which public and private sectors benefit from research), patents, and commercialization,

v.   knowledge creation grounded in or engaged with Indigenous nations, communities, societies, or individuals that embraces the intellectual, physical, emotional and/or spiritual dimensions of knowledge and interconnected relationships with people, places and the natural environment. It is committed to building respectful relationships with Indigenous communities, valuing their existing strengths, assets and knowledge systems, and striving to meet community needs, through ethically and culturally appropriate means.

1.2.3   Research and scholarship may take place individually or collaboratively and focus on one or more disciplines. High-quality research and scholarship will be measured by peer recognition and/or advancement to the discipline, and/or innovation, and/or creativity, and/or impact on society and community etc.

1.2.4   Activities in research and scholarship vary among Faculties, and across disciplines and fields, encompassing different modes and activities, creative or professional achievements, in different ways consistent with disciplinary culture and practice and as delineated in the relevant Faculty Guidelines. Such activities shall normally be measured by the quality, originality, innovation, impact, entrepreneurial spirit, knowledge engagement, and community impact, and the pattern of the academic staff member's work appropriate to the discipline, field, or community.

1.2.5   It is expected that academic staff members, as required by their rank and stream, shall actively participate in the evolution of their disciplines and professions, to remain current in their fields, and to disseminate the scholarly outcomes of their work in a variety of forms appropriate to their discipline or field.

1.2.6   In their particular fields of endeavor, academic staff members are expected to meet ethical standards for research and scholarship, to adhere to University policies with respect to ethical conduct, and to act with integrity and honesty in conducting and communicating their scholarly work.

1.2.7   Academic staff members are normally required to seek funding to sustain their program of research and scholarship where applicable, as defined in the relevant Faculty Guidelines (see Part A.3.7.vi.).

1.2.8   The relative weighting of types of research and scholarship output may vary by discipline, or field (see Faculty Guidelines Part A.3.7.iv.). For example, in some disciplines, publication of a high quality journal article or a refereed book in a national or international press is the summit of scholarly achievement. Some fields may require extensive efforts in community building before research and scholarship can occur. Knowledge engagement, social innovation, including Indigenous research and scholarship, or entrepreneurial activities, may result in different outputs, impact, and innovation. In other disciplines, presentations, lectures, and/or keynote addresses at international conferences, publications in conference proceedings or editing a journal, carry greatest weight. In others, the number and value of external grants received, and/or research contracts awarded are important indicators of research and scholarly activity. Similarly, a patent, contributions to policy, or a juried exhibition of artistic work may indicate significant creative and/or professional achievement.

1.2.9   In Faculties that prepare students for professional practice, contributions to the discipline of that profession shall be deemed relevant to satisfying research and scholarship requirements provided that they are of high quality and are acknowledged contributions to the field, that they flow primarily from research and scholarship, and that they have been subject to an informed review process and enhance the professional reputation of the academic staff member and the University.

1.3   Teaching

1.3.1   Teaching is a major University function. The purpose of teaching is to facilitate learning and to guide the next generation of learners on their educational path.

1.3.2   Approaches to teaching and learning should be pedagogically informed and grounded in a clearly articulated teaching, supervision, and/or mentorship philosophy, as applicable. Teaching effectiveness and expertise are characterized by high-impact teaching and learning strategies to improve student learning and include a demonstrated ability to apply pedagogically informed teaching and learning experiences.

1.3.3   Teaching may take different forms such as direct or classroom instruction at undergraduate and/or graduate levels, as well as competency-based education, and/or field and practicum supervision. Teaching activities may include lectures, seminars, tutorials, laboratories, clinical sets, advising/counselling, creating lesson plans, assessments, grading, and examinations, and upholding academic integrity. Delivery of instruction and support of student learning may be face-to-face, online and blended and may occur inside and outside of the classroom, on and off campus (including land-based education), in collaboration with other instructors, other faculties, associated institutions, community organizations or with Indigenous knowledge-keepers and communities.

1.3.4   Teaching may also include supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and other trainees. In this context, teaching activities may include critical evaluation of written work, advice, and guidance to trainees on their research methods and experimental approaches, supervision of experiential activities, participation on supervisory committees, or serving as an external examiner.

1.3.5   Mentorship of undergraduate or graduate students, post-doctoral scholars, and/or other trainees, and/or colleagues, is also an important dimension of teaching. Mentoring activities may include one-on-one or group discussions, sharing knowledge, and providing advice and guidance/counselling. These mentorship activities may include career planning, goal setting, development of a *curriculum vitae*, employment opportunities, and/or other direction that is instrumental to a successful educational experience in the University and beyond.

1.3.6   Educational leadership is a dimension of teaching that advances innovation of, and expertise in, teaching and learning, with impact beyond the classroom. This may include contributions to curricular development and renewal, pedagogical innovations, evidence-based and/or practice-based educational activities including Indigenous teaching practices, the sharing of pedagogical expertise through publications, or formal educational leadership roles in the academic unit or beyond.

1.3.7   The University also recognizes the legitimate role of academics in collaborating with partners in knowledge creation and innovation, or as 'knowledge brokers' in transferring new knowledge and innovations to persons in government, business, industry, the professions, and broader communities through the organization and presentation of seminars, workshops, and short courses.

1.4   Service

1.4.1   Academic staff members have a responsibility to contribute through service to move the institution forward through collegial governance, to advance academic disciplines, and to impact communities and society. Service means active participation and shared responsibility in academic governance, and development in matters relevant to the progress and welfare of the academic staff member's Department, Unit, Faculty, Institution, discipline, and profession.

1.4.2   The degree and number of service activities to which an academic staff member contributes may vary depending on career stage, rank, and stream. Appropriate levels of service shall be expected of each rank. Nevertheless, for individuals whose duties include research and scholarship as well as teaching, the normal expectations for these duties cannot be fulfilled by service activity in the absence of written agreements with the Dean. Meeting the expectation for service should normally require a smaller portion of effort than is required for the functions of research and scholarship as well as teaching.

1.4.3   Service to the University may include participation in Program or Unit-level, Department or Division, Faculty, and University committees, councils, task forces, *ad hoc* teams, and governing bodies, or other parts of the University including the Faculty Association. Activities that

contribute to upholding academic and research integrity across various parts of the academy shall also be considered as important service contributions to the University.

1.4.4   Service to an academic staff member's disciplines or profession may include membership on committees or executive bodies of academic or professional organizations, editorial boards of disciplinary or interdisciplinary journals, national or international granting agency councils, on grant selection committees and adjudication panels of regional, provincial, national, or international agencies, and similar professional activities. Service may also involve organization of conferences, seminar series, workshops or presentation of short courses within the University, the broader community, or within the national and/or international arena.

1.4.5   Service to the community and general public takes place in several forms. Public or community service involves the contribution of an academic staff member's professional and disciplinary expertise to the community and public-at-large in association with their University appointment. Academic staff members may contribute to general, professional, or cultural communities, the province, and the nation, as well as globally, by reciprocal application of their scholarly or professional expertise, knowledge engagement and transfer, thereby bringing recognition to the University. Other service to the community that flows from the discipline, or field, or that accrues through other distinguished service to the University and/or the community may be acknowledged when it brings distinction to the University and/or community.

1.4.6   With regard to all service activities as outlined above, serving as Chair/Co-Chair or Executive Membership, for example, could carry significantly more weight than that of membership. Serving as Editor or Associate Editor, or as a member of an Editorial Board for a journal or similar body, for example, could also carry significantly more weight than that of reviewing. It is the role of the Head or equivalent to take into account the time commitment and role that an academic staff member takes on in various service assignments.

1.4.7   Academic staff members may also contribute service to specific communities requiring significant time commitment to establish trust, depth and stability, thereby integrating the University with its communities. In some instances, such contributions may be a necessary element of their research and scholarship activities that should be recognized in considerations for Tenure and Promotion, and in Merit Assessment.

1.4.8   Formal and informal service commitments across the University are often disproportionally expected from academic staff members of under-represented groups. Their commitment to offer a diversity of perspectives and experiences on committees and other decision-making bodies supports the University in making the best possible decisions and to establish an inclusive campus for all. Such contributions shall be considered in Tenure and Promotion, and in Merit Assessment.

1.5   Administrative Duties

In accordance with Articles 28.3 and 29.2.3 of the *Collective Agreement*, the quality of administrative leadership shall be recognized when evaluating academic staff for Tenure and

Promotion, and for Merit Assessment. Administrative duties can take the form of formal appointments or may occur informally.

2. Hiring, Transfer, or Promotion Requirements for Academic Staff Ranks and Streams

2.1 General Considerations

2.1.1 The following paragraphs set out the hiring, transfer, or promotion requirements for academic staff members across ranks and streams for a) the teaching and research stream, and b) the teaching-focused stream as well as administrative and professional streams. These requirements describe the level at which academic staff members in each rank and stream are expected to contribute to research and scholarship, teaching, and service.

2.1.2 As a principle, expectations increase in relation to rank. As academic staff members progress through the ranks, they may take on a variety of roles in a University community and in their professions, and the vitality of the University community, the academic disciplines, and the broader community or society depends upon their commitment and involvement.

2.2 Hiring, or Transfer Requirements for Assistant Professor

2.2.1 Appointment to the rank of Assistant Professor normally requires completion of the highest rank of academic training in a discipline or field. Evidence or promise of original high-quality research and scholarship and future development as a scholar must be present. Where appropriate to the proposed program of research and scholarship, evidence or promise of the applicant's ability to obtain funding may also be required (see also Part B.1.2.7). Appointment to the rank of Assistant Professor may also require evidence or promise of teaching proficiency or professional activity.

2.3 Hiring, Transfer, or Promotion Requirements for Associate Professor

2.3.1 Appointment at, transfer into, or promotion to the rank of Associate Professor normally requires evidence of high-quality research and scholarly activities, evidence of teaching effectiveness (as outlined in Part B.1.3) and an appropriate record of service.

2.3.2 Appointment at, or promotion to the rank of Associate Professor normally requires evidence of an established academic program of a calibre equivalent to national recognition by peers. According to discipline or field, indicators may vary. Within the context of this paragraph, some _examples_ are as follows:

  i. evaluation by external referees as recognized authorities external to the University, who are qualified to evaluate the applicant,
  ii. publication of high-quality peer-reviewed works in appropriate journals of the field, or equivalent juried creative work
  iii. creative or professional awards or prizes that bring distinction to the University,
  iv. keynote address or invited speaker to conferences, seminars, or workshops, at the local, regional, national or international level, relevant to the discipline or field,

    v.   service as an expert to a recognized organization,

    vi.   election or appointment as a member or leader of a scholarly society,

    vii.   service as peer reviewer for journals or granting bodies including *ad hoc* reviewing,

    viii. participation in research networks, consortia, or research teams.

2.3.3   For appointment at, or promotion to, the rank of Associate Professor, it is expected that a record of high-quality research and scholarship such as peer-reviewed or refereed presentations or publications in an academic, community or artistic forum suitable to the discipline or field has been achieved, or that other measurable contributions to professional practice, knowledge engagement, innovation, or entrepreneurship have been achieved. Evidence of ability to obtain funding to sustain a research program is normally required (see also Part B.1.2.7).

2.3.4   In some disciplines or fields, and depending upon assigned duties, appointment at or promotion to the rank of Associate Professor may require the academic staff member to have successfully taught a variety of courses and provided evidence of teaching effectiveness (e.g., as part of a Teaching Dossier). This may be demonstrated by contributing to course and/or curricular development, serving as a member of graduate student supervisory committees, providing trainee mentorship, and/or demonstrating successful supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and/or other trainees. Teaching effectiveness and expertise also includes a demonstrated ability to design learning experiences grounded in a clearly articulated teaching, and/or mentorship, and/or supervisory philosophy (see also Part B.1.3.2 to B.1.3.5).

2.3.5   For appointment at, or promotion to, the rank of Associate Professor, a satisfactory record of and active involvement in university, professional or community service that has demonstrated commitment to the Department, Unit, Faculty, University or wider community is also expected, as defined in the relevant Faculty Guidelines.

2.3.6   When an academic staff member holds a tenure-track appointment at the rank of Assistant Professor, the granting of promotion to the rank of Associate Professor normally carries with it the granting of tenure.

2.4   Hiring, Transfer, or Promotion Requirements for Professor

2.4.1   Appointment at, transfer into, or promotion to, the rank of Professor is reserved for those whose academic achievements would normally be recognized by their peers within the University and beyond to be of a calibre equivalent to international standing and as outstanding in their community, discipline, or field. According to discipline or field, indicators may vary. Within the context of this paragraph, some *examples* are as follows:

    i.   evaluation by recognized authorities external to the University, who are qualified to evaluate the applicant,

    ii.   publication of high-quality peer-reviewed works in appropriate journals of the field, or equivalent juried creative work

iii. preeminent or influential creative or professional awards or prizes that bring distinction to the University,

iv. keynote address or invited speaker to high-calibre conferences, seminars, or workshops, at leading venues,

v. invitation to contribute to edited collections,

vi. service as peer reviewer or Editorial Board member for journals or granting bodies including *ad hoc* reviewing,

vii. participation in preeminent or influential research networks, consortia, or research teams,

viii. service as an expert to a recognized organization,

ix. selection or appointment as a member or leader of a scholarly society.

2.4.2 Appointment at, transfer into, or promotion to, the rank of Professor is a recognition of the highest quality of contributions to research and scholarship, teaching, and service including leadership contributions and/or impact or innovation within the relevant community, discipline, or field, resulting in distinguished recognition.

2.4.3 Whereas relative contributions in the areas of research and scholarship, teaching, and service may vary across the professorial stream, appointment at, or promotion to, the rank of Professor normally requires a sustained body of research and scholarship that has impacted the community, discipline, or field in a significant way, evidence of an on-going research program sustained by peer-reviewed external or industry grants, where applicable, and defined by the relevant Faculty Guidelines, or other contributions to knowledge engagement, innovation, or entrepreneurship, or creative or professional practice. Notwithstanding the importance of teaching expertise and effectiveness, appointment at or promotion to the rank of Professor shall only be recommended when the academic staff member is recognized to be of a calibre equivalent to international standing on the basis of research and scholarship, equivalent creative activity, or professional contributions to the relevant community, discipline, or field as described in Part B.2.4.1.

2.4.4 Depending upon assigned duties, appointment at, or promotion to, the rank of Professor normally requires evidence of teaching effectiveness (e.g., as part of a Teaching Dossier) at the undergraduate and graduate levels and/or educational leadership. An established track record of supervising or co-supervising undergraduate or graduate students, post-doctoral scholars and/or other trainees, supervisory and/or examining committee membership, and/or mentorship activities, may also be required. Teaching effectiveness and expertise also includes a demonstrated ability to design learning experiences grounded in a clearly articulated teaching, and/or mentorship, and/or supervisory philosophy (see also Part B.1.3.2 to B.1.3.5).

2.4.5 Appointment at, transfer into, or promotion to, the rank of Professor normally requires a distinguished record of service contributions to the institution, the appropriate discipline and profession, and/or broader community.

2.5 Hiring, or Transfer Requirements for Assistant Professor (Teaching)

2.5.1 Where appropriate to the discipline or field, appointment to, or transfer into, this rank may require completion of the highest rank of academic training or relevant professional designation. Evidence or promise of teaching effectiveness or competency in teaching and learning (e.g., as part of a Teaching Dossier), an awareness of how to apply scholarly approaches to teaching and learning practices, participation in reflective practice, and professional learning activities related to teaching and learning may be necessary. Commitment to, or experience with, defining learning goals, supporting student learning activities and engagement, and creating assessment strategies may also be required.

2.5.2 Appointment to, or transfer into, the rank of Assistant Professor (Teaching) requires engagement in the research and scholarship required to maintain currency in pedagogy and curriculum design of the relevant discipline or field as well as engaging in other scholarly professional or creative activities that strengthens and informs the academic staff member's knowledge base and expertise as an Assistant Professor (Teaching).

2.6 Hiring, Transfer, or Promotion Requirements for Associate Professor (Teaching)

2.6.1 In addition to the requirements for an Assistant Professor (Teaching), appointment at, transfer into, or promotion to, the rank of Associate Professor (Teaching) requires evidence of teaching effectiveness (e.g., as part of a Teaching Dossier), a demonstrated ability to apply scholarly approaches to teaching and learning and student engagement, to design student learning experiences and assessment strategies grounded in a clearly articulated teaching philosophy, and to engage in scholarly, professional, or creative activities that inform and expand the academic staff member's knowledge base as an Associate Professor (Teaching). Depending on duties assigned, and as defined in Faculty Guidelines (see Part A.3.7.xiii.) this may include, but may not be limited to, conducting and disseminating research and scholarship to advance knowledge in the teaching and learning community, supporting academic development of students, trainees, and colleagues, and engaging in educational leadership beyond the classroom.

2.6.2 Appointment at, transfer into, or promotion to, the rank of Associate Professor (Teaching) requires the continuous development and demonstration of a scholarly foundation for designing and implementing innovative teaching and that supports student learning, ability to create respectful and inclusive learning environments that promote student engagement, participation in professional learning activities, networks, and communities, and engagement in reflective practice to adjust and strengthen one's teaching, learning and assessment practices.

2.6.3 Appointment at, transfer into, or promotion to, this rank may also require a satisfactory record of and active involvement in educational activities such as engagement in professional, University or community service that has demonstrated commitment to advancing teaching and student learning within the Department, Faculty, Unit, University, or broader community.

2.6.4 When an academic staff member holds a tenure-track appointment at the rank of Assistant Professor (Teaching), the granting of promotion to Associate Professor (Teaching) normally carries with it the granting of tenure.

2.7 Hiring, Transfer, or Promotion Requirements for Professor (Teaching)

2.7.1 In addition to the requirements for Associate Professor (Teaching), the rank of Professor (Teaching) normally requires a demonstration of the highest quality of contributions to a research-informed practice of, and reflective inquiry into, teaching and learning. This rank is reserved for those who are outstanding in their discipline or field and recognized for their leadership contributions to teaching and learning. Appointment at, transfer into, or Promotion to Professor (Teaching) requires documented evidence of distinguished achievement in three of the following four categories:

i.   professional learning and development: engaging in professional development to improve teaching and student learning,

ii. research and scholarship: consulting relevant scholarly sources to design and implement teaching and learning experiences, conducting and sharing research and scholarship on teaching and learning to advance knowledge in the teaching and learning community,

iii. mentorship: supporting the teaching and academic development of faculty and students,

iv. educational leadership: activities that advance teaching and learning communities by sharing expertise that helps others to strengthen their teaching practice.

2.7.2 Notwithstanding demonstrated distinction in teaching effectiveness and expertise, appointment at, transfer into, or promotion to, the rank of Professor (Teaching) shall normally only be recommended where the academic staff member has clearly established an outstanding reputation, demonstrated through educational leadership contributions to the theory and practice of teaching and learning, and by impact on, or innovation within, the relevant community, discipline or field, resulting in distinguished peer-recognition. According to discipline or field, indicators may vary.

Some *examples* are as follows:

i.   advanced innovations in teaching and learning with impact beyond the classroom,

ii. participation in, and/or leadership of, professional learning activities, and/or networks (e.g., learning communities, workshops, seminars, peer evaluations) to share teaching and learning expertise with others,

iii. creating and leading initiatives, advising on academic programs and curricula, and/or engaging in effective mentorship,

iv. dissemination of research and scholarship in the broader community (e.g., Department/ Faculty/University presentations and workshops, conference presentations and proceedings, keynote addresses or invited speaker, white papers, journal articles),

v.   educational leadership responsibilities within Department, Faculty, Unit, University or broader community,

vi. recognition of teaching expertise across and/or beyond the University.

2.7.3   Appointment at or promotion to the rank of Professor (Teaching) also requires a distinguished record of service contributions to the institution, the appropriate discipline, and profession, and/ or broader community.

2.8   Requirements for Academic Staff in Administrative and Professional Streams

2.8.1   Librarians

2.8.1.1 Criteria with respect to Librarians, Archivists, and Curators, shall be established by the Academic Council of Libraries and Cultural Resources.

2.8.2   Counsellors

2.8.2.1 Criteria with respect to counsellors in Student and Enrolment Services shall be established by the Council of academic staff in Student and Enrolment Services.

2.8.3   Other (Administrative and Professional Academic Staff)

2.8.3.1   Criteria with respect to administrative and professional academic staff members shall be established by the appropriate Vice-President or delegate with due regard to the historic duties of the position and after meaningful consultation with the academic staff member(s).

2.8.3.2   A review of these approved criteria may be initiated by either party prior to the commencement of a calendar year. The review and any modification of criteria and duties shall be carried out by the process outlined in Part B.2.8.3.1.

3.   Criteria for Renewal, Transfer, Tenure and Promotion

3.1   General Considerations

3.1.1   Renewal of a tenure-track appointment requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a reasonable likelihood that they will be able to successfully apply for an appointment *With Tenure* at the University of Calgary within the time allowed.

3.1.2   Achieving tenure and promotion is a milestone in an academic career and an expression of a university's commitment to the academic staff member who is making the application. Criteria applied in Tenure and Promotion processes have, however, been shown to be subject to implicit bias – the attitudes or stereotypes that can affect our understanding, actions, or decisions, in an unconscious manner. It is important for members of Faculty Tenure and Promotion Committees (FTPC) to recognize that bias may be present and to critically reflect on same when reviewing applications and referencing relevant criteria.

3.1.3   When evaluating applications for renewal, transfer, tenure and/or promotion, FTPC members shall duly consider instances where research and scholarship and/or teaching and/or service of academic staff members has been substantially impacted by a *Force Majeure* event as detailed in Part B.1.1.5.

3.1.4   Advancement to a higher rank is not automatic. Continued growth in research and scholarship,

teaching, and service is typically required for all ranks and streams according to assigned duties. Outstanding performance in one area normally cannot substitute for insufficient performance in another.

3.2 Tenure and Promotion in the Teaching and Research Stream

3.2.1 Granting of an appointment *With Tenure* requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a substantial likelihood that they will be able to sustain a career as a productive researcher and scholar, effective teacher, and active contributor to the University of Calgary community.

3.2.2 When an academic staff member applies for an appointment *With Tenure* in the Teaching and Research Stream, the FTPC shall seek evidence that the academic staff member has been successful in meeting criteria for the rank, as set out in Part B.2. To this end, the FTPC shall:

i. review evidence of the accomplishments of the academic staff member in research and scholarship, teaching, and service, or other assigned duties, both over their entire career and since appointment at the University of Calgary,

ii. then consider the overall career pattern of the academic staff member, taking into account the time elapsed since completion of the highest degree, or professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii. use criteria as set out in the relevant Faculty Guidelines in evaluating the evidence presented.

3.3 Tenure and Promotion in the Teaching-Focused Stream

3.3.1 When an academic staff member applies for an appointment *With Tenure* in the Teaching-Focused Stream, the FTPC shall seek evidence that the academic staff member has been successful in meeting criteria for the rank as set out above in Part B.2.

3.3.2 The granting of an appointment *With Tenure* and Promotion to Associate Professor (Teaching*)* requires a determination that, given the quality and pattern of career performance of the academic staff member, there is a substantial likelihood that they will be able to sustain a productive career as an effective teacher and active contributor to the University of Calgary community.

To this end, the FTPC shall:

i. review evidence of the accomplishments of the academic staff member in teaching and learning, service, any other assigned duties, and engagement in other scholarly activities that inform and expand the academic staff member's knowledge base, both over their entire career and since appointment to the University of Calgary,

ii. consider the overall career pattern of the academic staff member, taking into account the time elapsed since completion of the highest degree or professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii.   use criteria set out in the Faculty's Guidelines in evaluating the evidence presented.

3.4   Promotion to Professor or Professor (Teaching)

3.4.1   Advancement to the highest rank in Teaching and Research as well as Teaching-Focused streams is not automatic. Excelling in one area of criteria for ranks and streams normally cannot substitute for another. Rigorous standards are applied for evaluating research and scholarship, teaching, and service, or other assigned duties, in considering promotion to Professor or Professor (Teaching) to ensure that the academic staff member has achieved the recognition required for this rank as set out above in Part B.2. An academic staff member considering promotion to Professor or Professor (Teaching) should be an exemplary member of the academy who consistently demonstrates a high standard of achievement in all areas and roles and demonstrates due diligence in meeting assigned duties.

3.4.2   When an academic staff member applies for Professor or Professor (Teaching), the FTPC shall consider the complete career record of the academic staff member at the University of Calgary and elsewhere.

3.5   Transfer between Streams

3.5.1   In accordance with Articles 28.7.6 and 28.10 of the *Collective Agreement*, all provisions regarding promotion shall apply to the process of transfer between streams with the question being whether the academic staff member seeking the transfer meets criteria for the new rank. A tenured academic staff member may not apply for a rank that normally does not include tenure (e.g., Assistant Professor or Assistant Professor (Teaching)).

3.5.2   In the event that an academic staff member wishes to apply to transfer from one stream to another (i.e., teaching and research stream to teaching-focused stream or teaching-focused stream to teaching and research stream), the same criteria as outlined above must be met. In the event that an academic staff member meets these criteria, the FTPC members shall evaluate them based upon the rank and stream to which they are transferring, ensuring that all criteria as set out above, and in Faculty Guidelines, have been met.

3.6   Additional Considerations for Renewal, Tenure and Promotion

3.6.1   Outside Professional Activity shall be considered in determining career advancement to the extent that any such activity contributes to fulfilling the obligations of the academic staff member to the University and to enhancing the stature of the University.

3.6.2   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 of the academic staff member where relevant to Tenure and Promotion.

3.6.3   With regard to Tenure and Promotion, materials in support of demonstrating teaching effectiveness shall be included in the Teaching Dossier of the academic staff member as laid out in Appendix 28A of the *Collective Agreement*.

3.7 Renewal, Tenure and Promotion in Administrative and Professional Streams

In Administrative or Professional streams, granting an appointment *With Tenure* requires a determination that, given the quality and pattern of the academic staff member's career performance, there is a substantial likelihood that they will be able to sustain a career as a productive and effective member of, and active contributor to, the University of Calgary community. To this end, the FTPC shall:

i. review evidence of the academic staff member's accomplishments since appointment to the University of Calgary,

ii. then consider the academic staff member's overall career pattern taking into account the time elapsed since completion of their highest degree of professional designation, accomplishments in positions prior to employment at the University of Calgary, and other relevant factors, and,

iii. in assessing the evidence presented to it, use criteria provided in the relevant Unit Guidelines or criteria referred to above.

4. Criteria for Merit Assessment

4.1 General Considerations

4.1.1   In assessing performance and assigning merit, the Head or equivalent shall base their assessments on the requirements set out in Part B.1 and B.2 of this Handbook and Faculty Guidelines.

4.1.2   Article 29.2.2 of the *Collective Agreement* states that criteria for assessing academic staff members shall be applied in a manner consistent with assigned duties as outlined under Article 12.

4.1.3   Article 29.2.2 of the *Collective Agreement* further states that merit shall be assessed on the full duties performed by the academic staff member.

4.1.4   Article 29.2.3 of the *Collective Agreement* states that 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 of academic administrators and others who serve in formally appointed administrative leadership positions. Academic staff members who serve their academic units, faculty or the University in administrative roles, including as Department Heads, Associate Deans, Program or Institute Directors, or other equivalent roles shall also be assessed on the quality of their leadership, e.g., how they have advanced the academic mission of their portfolio, displayed vision, implemented plans and strategies, advanced a culture of high quality research and scholarship, teaching and service, and created meaningful and relevant academic programs.

4.1.5   Article 29.2.5 of the *Collective Agreement* states that criteria for assessing academic staff members in positions outside the professorial, instructor, librarian, curator, archivist and counsellor streams shall be based on the duties assigned at the time of hiring, and as mutually

amended by the academic staff member and supervisor over time, or as agreed to by the Provost and Faculty Association.

4.1.6   Article 29.2.6 of the *Collective Agreement* states that as an academic staff member progresses through a rank, the normal expectation of performance rises.

4.1.7   Article 29.3.9.2 of the *Collective Agreement* also states that the awarding of increments of any amount may not be indicative of success in applications for Renewal, Tenure and Promotion.

4.1.8   Heads or equivalents are uniquely qualified to assess the impact of the academic staff member's contributions in the particular community, discipline, or field, and are charged with the responsibility of preparing written performance assessments which are critical for Faculty Merit Committees (FMC). Written assessments should include comments on the quantitative and qualitative contributions an academic staff member has made during the reporting period. Evaluative comments should be included, in a concise format, wherever possible and appropriate, and summarize contributions in research and scholarship, creative and/or professional activities, teaching activities, and service activities, according to assigned duties.

4.1.9   In assessing performance and assigning merit, the Head or equivalent shall consider the possible inequities in workload and assigned duties affecting members of under-represented groups as outlined in Part B.1.4.8.

4.1.10   The Head or equivalent shall also take into consideration when assessing performance and assigning merit, instances where research and scholarship and/or teaching and/or service activities of academic staff members has been substantially impacted by a *Force Majeure* as described in Part B.1.1.5.

4.1.11   Outside Professional Activity for remuneration shall not normally be counted as service for the purposes of Merit Assessment.

4.2   Criteria for Assessing Research and Scholarship Activities

4.2.1   Research and scholarship are major functions in a research-intensive university. Through research and scholarship, academic staff members contribute to innovation and advancements in their discipline, field, and communities, and to the solving of challenges that societies face, both locally and globally. The assessment of research and scholarship activities shall be based upon expectations outlined in Part B.1 and across different ranks and streams in Part B.2, and the relevant Faculty Guidelines.

4.2.2   All research, scholarship, and other creative activities shall be assessed on the merits of the work, regardless of the form in which they appear, and subject to the same rigor of informed peer review or appropriate refereeing. It may be 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.

4.2.3   Faculties will articulate how and when the Faculty credits scholarly work in various stages of publication (see Part A.3.7.x.).

4.2.4   In assessing research and scholarship activities, the Head or equivalent and the members of the FMC, should be attentive to the evolving and changing nature of research and scholarship, and the ways in which knowledge is produced and disseminated, as specified in the relevant Faculty Guidelines.

4.3   Criteria for Assessing Teaching Activities

4.3.1   Teaching is a major function of the work academic staff members perform at the University. The development, renewal and delivery of undergraduate and graduate level courses, and the evaluation, supervision or co-supervision, and mentorship of trainees, are part of the teaching responsibilities of all academic staff members. The assessment of teaching activities is a critical step for constructively and continuously improving the quality of teaching and the student experience across the University.

4.3.2   Teaching expertise and effectiveness shall be assessed as part of the performance review for merit assessment purposes. Such evaluation should consider all ways academic staff members address their teaching responsibilities and interact with undergraduate or graduate students, post-doctoral scholars, and/or other trainees. Evaluations of teaching activities should also consider the extent of innovation, preparation, reflection and integration of current knowledge, level of interest, direction, and encouragement demonstrated by the academic staff member. Participation in teaching development programs and/or seeking expert opinion to assist in improving teaching and learning shall be viewed as an indication of commitment to teaching. In some disciplines, seeking the advice of Indigenous knowledge keepers should also be considered.

4.3.3   Assessment of teaching activities shall be multi-faceted and, in particular, shall not be based primarily on any one method of evaluation. No single tool or activity is sufficient to assess teaching expertise and effectiveness. Multiple sources of evidence shall be used to obtain a holistic picture of the teaching expertise and effectiveness of the academic staff member. This may include self-reflection, examples of student work and achievements, multiple sources of student feedback, teaching awards and nominations, peer review and observation, sample course design and assessment materials, teaching innovations, presentations/publications in teaching, professional learning related to teaching, examples of success in mentorship and supervision, and educational leadership activities, as well as any other assessments provided by the academic staff member to the Head or equivalent.

4.3.4   Evaluations of teaching should state the basis for the assessment (e.g., student feedback, peer review, classroom or laboratory visits by the Head or equivalent). It is helpful to members of the FMC if the Head or equivalent outlines the extent, nature, and significance of an academic staff member's time commitment and contributions to teaching.

4.3.5   In assessing teaching activities, the Head or equivalent as well as the members of the FMC shall refer to criteria for teaching, as set out in Part B.1, and criteria established for teaching for academic staff members in different ranks and streams, as set out Part B.2.

4.3.6   In assessing teaching activities, supervision or co-supervision of undergraduate or graduate students, post-doctoral scholars, and/or other trainees, mentorship, the participation on supervisory committees, and/or serving as an external examiner, shall be considered where applicable.

4.4   Criteria for Assessing Service Activities

4.4.1   Service is an important function of the work academic staff perform at the University. Service activities move the institution forward through collegial governance, advance academic disciplines, and impact communities and society. Academic staff members also perform important administrative tasks that may not be subject to a formal appointment; this work should be recognized and assessed as a contribution to service.

4.4.2   In evaluating service contributions, the Head or equivalent should assess the information provided by the academic staff member on the nature and type of service activities, the time commitment, significance, and impact of these service activities, and include into the written assessment.

4.4.3   In assessing service activities, the Head or equivalent and the members of the FMC shall refer to criteria for service as set out in Part B.1, and criteria established for service contributions for academic staff members in different ranks and streams as set out in Part B.2.

PART C

*Academic Appointments Selection Procedures,
Position Posting, Expedited Procedures for
Dual Career and Strategic Hiring,
Equitable and Inclusive Hiring Initiatives*

1.   General Considerations

The University of Calgary is strongly committed to an equitable and inclusive campus, and recognizes that a diverse faculty, including Indigenous faculty, benefits and enriches the work, learning, and research experiences of our campus and the greater community. The University is committed to removing barriers that impede access to, and success within, the academy, and strives to recruit individuals who will further enhance the diversity of the campus community. Academic Appointment Selection Committees will identify and address systemic barriers as they manifest themselves in the hiring process, and actively work to eliminate them.

2.   Position Posting

The objective of an Academic Appointment Selection process is to appoint highly qualified, excellent, and diverse candidates to the University who have the potential and/or track record to become exceptional, recognized scholars. For all appointees to realize their full potential at our university, we will foster and promote guiding principles of **inclusive excellence** – recognizing the integral relationship between diversity and quality in research & scholarship, teaching, and service. It envisions diversity and quality as *"two sides of the same coin."* Inclusive excellence also addresses the critical role that diversity of identify, background, and perspective play in harnessing creativity and innovation, and the importance of building an inclusive and collegial community.

2.1   Faculty Guidelines will direct the responsibility for drafting a position posting to any one of the Dean's office, the Head or equivalent, the Academic Appointment Selection Committee or its Chair (see Part A.3.7.xviii.); however, final approval of the posting by the Dean, or Vice-Dean is required before publication. In Academic Units outside of Faculties, the position drafting, and approval will reside with the Dean.

2.2   Prior to the commencement of candidate interviews for a position, the position shall be advertised for a minimum of 30 days outside of the University. In order to bring the Position Posting to the attention of a diverse pool of applicants, faculties should consider conventional venues (e.g., national university news publications, discipline-specific professional organizations, or other academic publications), as well as unconventional venues such as social media, job portals, and electronic mailing lists (e.g., listservs) to which members of equity-deserving groups subscribe.

2.3   The language of the position posting shall strive to be unbiased and free from gender or group stereotypes.

2.4   The individual identified in Part C.2.1, drafts the Position Posting which shall normally include:

i.   the intended Home Unit and Conjoint Unit(s) where applicable,

ii.   rank and stream as well as type of appointment. Where multiple ranks or streams are to be considered, the position posting shall normally state such at the outset,

iii.   anticipated effective date of appointment,

iv.   a description of the nature of the position and associated responsibilities,

v.   a description of the qualifications, skills and achievements required for the appointment, and presented in an objective, equitable and inclusive way to attract a diverse applicant pool, based on criteria described in Part B.2,

vi.   closing date for receipt of applications (see Part C.2.2) or a statement that reflects that the Position Posting will close before the ranking of the candidates by the Academic Appointment Selection Committee or, an option for on-going recruitment until the position is filled,

vii.   an expectation of the information to be included with applications. This may include as relevant to the position, a current *curriculum vitae*, statement of teaching philosophy, statement of research interest, samples of scholarly work, and if applicable, an equity and reconciliation statement. Depending upon the required background, skills, and experience, a narrative statement or Most Significant Contributions may also be solicited.

viii.   information about the applicable Faculty, Department, and Unit, providing web links where available,

ix.   a statement that the position is available to a wide range of applicants, National and/or International applicants, where applicable,

x.   a statement that while the search is seeking the best applicant for the position, by law, preference will be given to Canadian citizens or permanent residents, and,

xi.   a meaningful institutional Hiring Statement that:

- expresses commitment to EDIA
- encompasses recognition of indigenous engagement, truth and reconciliation, and
- includes reference to the principles of DORA.

2.5   A position for an Equitable & Inclusive Hiring Initiative shall <u>not</u> be advertised in advance of the approval process outlined in Part C.6 below.

2.6   The Dean may decide to engage a search firm to support the Committee in facilitating and broadening the search for candidates; in this case, all of the above requirements in Part C.2.4 must be followed. The Dean shall ensure that the search firm's process aligns with the University's commitments to EDIA and reconciliation.

2.7   At least once every three years, the Hiring Statement (see 2.4.xi) shall be reviewed by the Vice Provosts (EDI and Indigenous Engagement), and the Vice-President (Research), in conjunction with the Handbook Working Group and administered by Human Resources.

3.   Selection Procedures for Continuing Academic Appointments – Teaching and Research Stream and Teaching-Focused Stream

Academic Selection and Appointment belong to the most important processes at the University. Competing for the best, most talented, and promising faculty Nationally and Internationally, requires an efficient and time-conscious process to which all those involved in the search process

must contribute to allow academic units to recruit and appoint their top candidates.

3.1 Academic Appointments Selection Committee Composition

3.1.1 All Academic Appointment Selection Committees are advisory to the Dean. Faculty Guidelines will assign who is responsible for the selection and appointment of the Academic Appointment Selection Committee. The Chair of the selection committee will confirm that the committee composition aligns with the Faculty Guidelines in discussion with the Dean, if the Dean is not the Chair.

3.1.2 A formal Academic Appointments Selection Committee of appropriate size, shall be constituted and normally consist of the following:

i. Chair (voting only to break a tie): Dean or delegate (e.g., the relevant Head in departmentalized Faculties),

ii. three to five voting members either elected or appointed, as described in the relevant Faculty Guidelines, from the Continuing, Limited Term and Contingent Term academic staff members of the Home Unit, with a majority of these members holding a Continuing appointment,

iii. at least one voting member either elected or appointed as described in the relevant Faculty Guidelines, who holds an appointment as an academic staff member within the Faculty but is outside the affected discipline or Department, as applicable,

iv. at least one voting member who is a Continuing academic staff member from outside the Faculty and any applicable Conjoint Unit, either elected by Faculty Council or appointed by the Dean, as described in the relevant Faculty Guidelines. This Committee provides a perspective beyond the interests of the discipline or Faculty and has a particular role in observing both the fairness of the proceedings and appropriate application of criteria,

v. a graduate student or other trainee from the relevant discipline may be appointed by the Chair as either a voting or non-voting member, as described in the relevant Faculty Guidelines. If student representation on the committee is not required, Faculty Guidelines must describe a mechanism to account for informed student opinion or other forms of student feedback, and,

vi. if applicable to the hire, one or two additional members who do not hold an academic appointment may be appointed as either a voting or non-voting member, as described in the Faculty Guidelines. Such committee members (e.g., clinical appointees, *emeriti,* members of Deans' advisory council, industry experts, non-academic specialists within the unit, other community members, or Indigenous knowledge keepers) provide additional professional, cultural or community expertise that is not otherwise present in the committee makeup.

3.1.3 The number of Committee members from the hiring discipline(s) (as described in Part C.3.1.2. ii.) shall be greater than or equal to the number of Committee members from outside the discipline(s) (as described in Part C.3.1.2.iii., iv., and vi.). The Dean can appoint additional members from the discipline to balance the Committee.

3.1.4   Where circumstances make it necessary to deviate from the committee composition outlined in Part 3.1.2 above, the committee makeup may be modified by the Chair, while endeavouring to remain as consistent with the above rules as possible. If the Chair is not the Dean, any such deviations are subject to confirmation by the Dean.

3.1.5   In the case of cross appointments, the Chair shall be drawn from the Home Unit, and the Committee members as described in Part C.3.1.2.ii. shall be evenly drawn from the Home Unit and Conjoint Units. In cases where the appointment is not evenly divided across Units, the proportion from Home and Conjoint Units shall reflect this.

3.1.6   In the case of an appointment where the academic staff member is likely to be seconded, the Faculty Guidelines may provide for one or two additional Committee members who are academic staff members of the receiving Department, Faculty or Unit.

3.1.7   Committee composition shall reflect the university's commitment to diverse representation that is inclusive, and with due consideration to ameliorating under-representation, and to the equity needs of the hiring unit(s). In the case of a lack of representational diversity on the Committee, the Chair (or Dean) may fulfil the mandate of appointing additional members as outlined in Part C.3.1.2.iii., iv., and vi.

3.1.8   Quorum shall be the majority of voting members on the Committee from the hiring discipline (as described in Part C.3.1.ii.).

3.2   Responsibilities of Academic Appointments Selection Committees

3.2.1   The Chair shall:

i.   lead the Committee in all phases of the recruitment process,

ii.   ensure compliance with University policies,

iii.   act as the official spokesperson for the Committee,

iv.   communicate to the Dean, the activities of the Committee, if the Chair is not the Dean,

v.   communicate with candidates,

vi.   communicate with individuals providing letters of reference,

vii.   manage a proactive, timely, fair, and inclusive selection process in which all Committee members are encouraged to actively contribute,

viii.   establish process and ground rules for the successful functioning of the Committee and promote a positive and collegial working atmosphere,

ix.   determine any existing or potential conflict of interest of the Committee members, and make recommendations to the Dean as to how to manage such a conflict, if the Chair is not the Dean,

x.   establish clear expectations with all Committee members regarding confidentiality of meetings, conflict of interest, and its management and documentation, EDIA and/or Indigenous Engagement and/or DORA training requirements, the planned interviewing, ranking, and selection processes designed to select excellent academic staff, and the proposed timeline for screening, short-listing, and interviewing potential candidates.

3.2.2 The Committee members shall:

i. collectively develop criteria for evaluating candidates prior to reviewing any applications, including criteria that articulate academic excellence as well as consider diversity and a broad range of career paths, including those of applicants not based in a typical academic trajectory, and/or diverse skill sets which may encompass research & scholarship, teaching, or service activities are outside of mainstream forms,

ii. base criteria on Part B.1 and B.2 that describe research & scholarship, teaching, and service, and the expectations for academic staff in different ranks and streams,

iii. rank criteria in order of weight and importance prior to screening applicants using an evaluation matrix,

iv. be informed by a method to identify an applicant's skills, abilities, experience, and qualities,

v. review and assess all applicant files using criteria formulated by the Committee,

vi. develop a short list of candidates,

vii. develop a final ranking process for interviewed candidates based upon established relevant criteria and that identifies candidates' suitability for the position.

3.2.3 All members of the Committee have a responsibility to ensure the fairness of the proceedings, the appropriate application of criteria, and the reduction of implicit, overt and/or other types of bias and/or discrimination. The proceedings shall be inclusive and recognize practices that reflect EDIA communities, shared space, cultural safety, and intercultural capacity. Diversity of opinions from Committee members shall be welcomed and respected at all times. Any concerns regarding process shall be introduced and discussed at the Committee. All Committee discussions shall remain confidential.

3.2.4 At least once every two years, all members of the Committee shall be required to participate in training around EDIA and Indigenous engagement as well as DORA and its principles.

3.3 Short-listing of Candidates

3.3.1   An initial short-listing of candidates based on previously established criteria may be determined at any time, provided that the vacancy has been advertised for a minimum of thirty (30) days, as described in Part C.2 Position Posting.

3.3.2 After the Committee has prepared a short-list of qualified candidates, and before the Committee proceeds to the interviewing stage, the Dean will be provided with the short-list for consideration and approval to move ahead. The Committee members are required to retain confidentiality around the short-list of qualified candidates, until or unless the list is made public.

3.3.3 The Committee Chair shall solicit confidential written references (normally three are required) for all short- listed candidates, commenting on factors relevant to the position.

3.4 Candidate Interviews

3.4.1 The interviewing process shall provide for access to the candidate(s) by the members of the relevant Faculty, Department or discipline(s) including a mechanism to solicit written feedback.

All such written feedback shall be reviewed and accorded appropriate weight by members of the Committee. Candidates will be informed that members of the relevant Faculty, Department or discipline(s) will be provided access to the candidates' *Curriculum Vitae.*

3.4.2   The Committee shall develop a core set of position-related interview questions designed to identify academic excellence, on which each candidate's evaluation will be based. Normally, these questions should be asked of all candidates during the committee interview to ensure consistency and to allow comparative judgments to be made. Behaviour-based questions are considered the norm, which means that hypothetical questions should largely be avoided in favour of questions that the candidate can answer by relying on past experience and examples. Committee members are not permitted to ask questions relating to protected grounds under the *AHRA*, except as otherwise permitted by law.

3.4.3   The Committee shall ensure that all candidates have the opportunity to ask questions outside the formal interview process.

3.4.4   Good stewardship is essential during the interview process. To this end, candidates shall be provided with a chance for confidential discussions with Faculty and/or Staff members not directly involved in the search, who can provide information about schools, housing, childcare, places of worship, or any other types of information that might be needed for a candidate to envision themselves joining the community. Candidates may be introduced to Faculty members with similar research interests, if applicable.

3.4.5   All candidates shall receive the same tailoring of visits, and principles of equity, fairness and transparency shall be followed. If candidates require alternative arrangements, such arrangements will be accommodated, wherever possible. Specifically, candidates will be informed of:

i.   the duration of the interview, who the panel members will be, and the types of questions that will be asked,

ii.   the components of the interview (e.g., a public research presentation, a teaching lecture, an interview with the Committee, meeting with staff and students, meeting with the Dean's office),

iii.   a detailed itinerary for their interview,

iv.   the fact that career breaks for family or medical needs, or community responsibilities including Indigenous Engagement, will not negatively impact the hiring decision, and,

v.   respect for, and adherence to, the duty to accommodate.

3.5   Final Ranking of Candidates

3.5.1   A final ranking process shall be applied to interviewed candidates who have been deemed by the Committee to have met the requirements for the position and considered to be excellent candidates for the position. This ranking process shall:

i.   consider that the best-qualified candidates may not have the most years of experience, greatest number of publications, or largest number of academic accomplishments. For

example, many candidates may have articles published in non-peer reviewed journals on important issues, produce research to meet community needs for future generations of Indigenous peoples, or may be a recently appointed post-doctoral scholar with fewer accomplishments compared to one who has completed one or more post-doctoral scholarship positions,

ii. fairly assess research and scholarship activities that may be considered outside of the mainstream of the discipline, meeting criteria outlined in Part B,

iii. be aware that top-tier, mainstream platforms and venues and/or competitive research funding may not be available to scholars in particular and emerging fields of study,

iv. be mindful to avoid potential risks in using the concepts such as "fit" or "non-hire ability" which may lead to discrimination against equity-deserving groups and encourage indulgence in personal bias,

v. grant due consideration of any accommodations, leaves, career interruptions, or changes in career path.

3.5.2. The final ranking by the Committee shall remain confidential.

3.5.3 If a Committee concludes that no interviewed candidates meet the above-mentioned qualifications, there will be no final ranking and no recommendation for appointment.

3.6 Recommendation of Appointment

3.6.1 At the conclusion of the process, the Committee Chair will recommend to the Dean the top-ranking candidate along with a list of those candidates that met the requirements for the position. The Chair will provide a written report on the process that led to the selection of the top-ranking candidate along with those that met the requirements for the position. The written report should include the position posting, criteria established prior to interviewing candidates, interview questions, how EDIA and Indigenous Engagement as well as the principles of DORA were addressed, and a rationale for the recommendation of the top-ranking candidate over the other candidates who met the requirements of the position but were not selected. The Dean shall consult with the Chair and the Department Head, as appropriate.

3.6.2 In certain circumstances in which the proposed hire currently holds an appointment *With Tenure* at a different University, an Academic Appointment Selection Committee may recommend to the Dean, that the appointment be made *With Tenure* when considered in accordance with Articles 1.8 and 28 of the *Collective Agreement*.

3.6.3 A Committee may choose, for good reason, to recommend no candidate to the Dean. The Dean may reconsider the parameters for the position including reposting, reconsidering qualifications, rank or stream.

3.6.4 The Dean may recommend the appointment of a candidate who was not the top-ranked candidate from the pool of interviewed candidates who have been deemed by the Committee to have met the requirements for the position. If the Dean's recommendation differs from the advice received from the Academic Selection Committee, the Dean shall inform the Provost &

Vice-President (Academic) and the members of the Committee and provide a rationale for their decision.

3.7   Letter of Appointment

3.7.1   During appointment negotiations and prior to the signing of the letter of appointment, individuals recommended for Continuing, Contingent Term, or Limited Term appointments must declare any employment obligations to, and appointments with, any other institution or organization, if these obligations or relationships will remain in effect after the commencement of their appointment to the academic staff of the University of Calgary. Individuals must also declare any relationships with other individuals, institutions, or organizations which could lead to an actual, potential or perceived conflict of interest.

3.7.2   Notwithstanding any prior correspondence with the Dean or Department Head, if applicable, only the President or designate [e.g., Provost and Vice-President (Academic)] may provide the official and binding letter of offer of an academic appointment to the candidate on behalf of the Board of Governors. This letter of appointment shall specify terms and conditions of employment and include an outline of the general duties and responsibilities.

3.7.3   When an academic staff member is to hold an appointment in more than one Faculty, Department, or Unit, the letter of appointment shall include provisions as outlined in Part A.3.6, as appropriate.

3.7.4   When an academic staff member is appointed to a unit that is not a Faculty or equivalent, and has no recognized Faculty Guidelines, the letter of appointment shall clearly state the duties of the position and the initial criteria against which performance shall be assessed.

3.7.5   In the case of a joint or transdisciplinary appointment involving more than one Faculty:

i.   the Provost shall determine which Faculties Guidelines shall be used for the purposes of hiring,

ii.   the letter of appointment shall indicate which Faculty and Department (where applicable) shall be considered the Home Unit for the purposes of tenure, promotion, and merit assessment (see also Part C.3.7.3). Where appropriate, this may include reference to the proportion of duties across the various Faculties/Departments,

iii.   the Home Unit shall consult with all other Faculties/Departments involved in the joint or transdisciplinary appointment in making recommendations related to tenure, promotion, or merit assessment.

3.7.6   In the case of a joint or transdisciplinary appointment involving more than one Department within a single Faculty, the letter of appointment shall indicate which Department shall be considered the Home Unit for the purposes of tenure, promotion, and merit assessment and the proportionate distribution of duties (where appropriate).

3.7.7   In the case of an appointment where the individual is likely to be seconded within the University, either on a full or part-time basis, the length and percentage of the secondment shall be included in the letter of appointment whenever possible. The Home Unit shall consult with the

Department, Faculty or Unit where the academic staff member is seconded for the purposes of tenure and promotion, as well as merit assessment.

3.8   Record Management

3.8.1   All official records from an Academic Appointment Selection Process shall be retained by Human Resources for two years and shall include complete records of all stages of the recruitment and selection process for each academic appointment, including selection criteria, copies of advertisements, publication venues, an outline of the active recruitment methods employed, copies of applicants' *Curricula Vitae*, and letters of recommendation. Personal meeting notes, recordings, and working materials will be destroyed upon conclusion of the hiring process.

3.8.2   Relevant official records outlined in Part C.3.8.1 may be made available to the Provost & Vice-President (Academic) and the applicable Vice Provost (EDI or Indigenous Engagement) upon request as appropriate, consistent with aggregated data analyses.

3.9   Applicant Concerns

An applicant may write to the Provost & Vice-President (Academic) regarding concerns related to AHRA legislation and may send a copy to the Faculty Association. After appropriate review and consultation, the Provost & Vice-President (Academic) may take whatever action, if any, is deemed necessary.

4.   Selection Procedures for Academic Appointments – Administrative and Professional and Outside of Faculties

4.1   In the case of Library and Cultural Resources and Student and Enrolment Services, if the Faculty Council recommends a deviation to the procedures outlined in Part C.3 in their Faculty Guidelines, the Provost & Vice President (Academic), after consultation with the Faculty Association, will decide upon such deviations (see also Part A.2.8).

4.2   For all academic staff outside of a Faculty (defined in Part A.1.x.), the appropriate Senior Administrator shall establish an Ad Hoc Selection Committee with procedures that shall adhere to the principles set out in Part C.2. to C.3., to the extent possible under the circumstances of the position. The external member shall be drawn from a different organizational unit.

4.3   The members of the Ad Hoc Selection Committee, a majority of whom shall hold academic appointments, shall be appointed by the appropriate Senior Administrator in a manner consistent with the principles of Part C.2. to C.3., while recognizing the operational necessities of the position.

4.4   The procedures of the Ad Hoc Selection Committee shall be approved by the Provost & Vice-President (Academic) or delegate before the position is posted.

4.5   In situations when the selection process is for a senior position, the Ad Hoc Selection Committee may recommend that the appointment be made *With Tenure*. In such cases, the Committee must make its recommendation based on the career history of the applicant and relevant criteria for

the appropriate rank and stream and requirements for tenure, as described in Part B.1. to B.3. and in accordance with Articles 1.8 and 28 of the *Collective Agreement.*

4.6   An appointment *With Tenure* may be made upon appointment only if so recommended to the Senior Administrator by the Ad Hoc Selection Committee.

4.7   External competition for academic staff positions outside of Faculties may ~~is~~ not normally be required where the promotion of an individual represents a normal career path. Internal advertising of the opportunity is, however, required.

5.   Expedited Extraordinary Procedures for Dual Career and Strategic Hiring

5.1   From time to time, it may be in the University's best interest to act expeditiously to be able to make an offer of employment for a Dual Career Hire or a Strategic Hire. In such cases, and subject to the requirements and limitations outlined in Part C.5.4 below, the expedited hiring procedures shall be considered equivalent to, and used *in lieu* of, the aforementioned formal Academic Appointment Selection procedures.

5.2   Dual Career Hires (see definitions of Primary and Dual Career Hires in Part A. 1)

5.2.1   The following conditions for in a Dual Career Hire must be met in order to apply the expedited hiring procedures outlined in Part C.5.4:

i.   the primary purpose of a Partner Hire is to assist in recruiting or retaining a Primary Hire (as defined above in Part A.1),

ii.   no Limited Term, Contingent Term, or Continuing academic appointment suitable for the Partner is posted, and,

iii.   the Partner meets or exceeds criteria described in Parts B.2. to B.3.

5.2.2   For a Partner Hire, neither job description nor Position Posting is required. The candidate is expected to meet the requirement of the rank and stream of the position.

5.3   Strategic Hires (see definition in Part A. 1)

5.3.1   Before commencing any expedited procedures described in Part C.5.4 for a planned Strategic Hire, the Dean of the Home Unit (into which the Strategic Hire is to be recruited) shall provide details in writing to the Provost and Vice-President (Academic) as to how the Strategic Hire meets the requirements set out below in Part C.5.3.2. and why the hire cannot be recruited using the normal recruitment procedures outlined above (see Part C.2 to C.3).

5.3.2   The expedited hiring procedures outlined below in Part C.5.4 may only be used in extraordinary circumstances and when the proposed Strategic Hire cannot be hired under the normal procedures:

i.   has unique expertise that has resulted in exceptional impact on their discipline or field and is of a calibre equivalent to international standing,

ii.   has demonstrated unique research and scholarship, teaching activities and/or scholarly engagement that has resulted in a broad, heightened awareness of the perspectives of either Indigenous peoples or other equity-deserving groups in the community at large,

iii.   is expected to achieve significant breakthrough discoveries and/or exert cutting-edge impact on the discipline, unit and University,

iv.   will bring significant resources and/or partnerships to the University,

v.   will accelerate the goal of the University to differentiate itself in a signature area of focus, or,

vi.   fulfills an urgent and strategic need for the position.

Examples include:

a.   an individual at the highest rank of Professor or Professor (Teaching) whose reputation and international stature would significantly enhance the profile of the University,

b.   an individual who brings to the University a unique and highly sought-after expertise related to an innovative, ground-breaking, cutting-edge area of research and scholarship, professional or technical expertise, industry or community partnerships, or creative and professional achievement that will bring world-class recognition to the University, or,

c.   an individual who has been publicly recognized, nationally or internationally, for the impact of their scholarship on EDIA, Indigenous Engagement, and/or social justice.

5.4   Expedited Procedures for Dual Career and Strategic Hires

5.4.1   In all instances of Dual Career and Strategic Hires, these expedited procedures may be either:

i.   requested by a Dean and put forward to the Provost & Vice-President (Academic), or

ii.   initiated by the Provost & Vice-President (Academic).

A decision by the Provost regarding the application or initiation of expedited procedures shall be provided in writing to the relevant Dean.

5.4.2   Regarding Strategic Hires the office of the Provost & Vice-President (Academic) will report annually to the Handbook Working Group the number of applications from each Faculty, and for those approved, the associated timeline, the circumstance under which the hire was initiated, and the context of the decision regarding the hire; for those declined, the reason for the decision. An analysis of the report shall also be provided to GFC on an annual basis. The Handbook Working Group will periodically review the necessity of this clause.

5.4.3   The committee composition requirements for a Partner or Strategic Hiring Committee (hereafter referred to as the "Hiring Committee") shall be the same as the requirements outlined in Part C.3.1, with the addition of one non-voting Faculty Association member who shall be required for *quorum*. At the discretion of the Chair, a resource person from Human Resources may also be invited to attend and advise on procedural matters.

5.4.4   In the case of a Dual Career Hire where the Partner is to be in the same Home Unit as the Primary Hire, the Committee shall not normally include any member of the Academic Appointment Selection Committee used for the Primary Hire.

5.4.5   For a Dual Career or Strategic Hire, the Dean shall notify the Hiring Committee of the projected timing of the process. The Dean shall also provide (a) copies of these procedures, (b) the implication the proposed Hire would have with respect to other future hires in the Faculty, Department, or Unit, and (c) whether it is considered a regular hire or an additional hire (i.e., outside the Unit's hiring agenda).

5.4.6   By a date specified by the Dean, it will be the responsibility of the candidate to supply the information deemed relevant to the hire. For example, a *Curriculum Vitae*, teaching portfolio, an equity and reconciliation statement (in a format preferable to the candidate), references (in written or oral form), and/or evidence of scholarly work. In the case of an Indigenous Strategic Hire, evidence of the candidate's engagement of, or connection to, Indigenous community or communities may be required. This information shall normally be made available to the Hiring Committee for no less than three working days.

5.4.7   A Hiring Committee may recommend to the Dean that the appointment be made *With Tenure*. In such cases, the Hiring Committee shall make its recommendation based on the career history of the applicant when considered in accordance with Articles 1.8 and 28 of the *Collective Agreement*, and in conjunction with the requirements for rank and stream outlined in this Handbook.

5.4.8   Any deviation(s) to Articles 1.8 and 28 of the Collective Agreement with respect to appointments made *With Tenure* must be first approved by the Provost & Vice President (Academic), after consultation with, and agreement by the Faculty Association.

5.4.9   The Dean shall arrange for a presentation to either the Home Unit or, depending upon the circumstances of the hire, to the Hiring Committee. The Dean shall also arrange for an interview with the Hiring Committee and may provide opportunities for informal meetings with interested members of the Home Unit.

5.4.10   Following the candidate's presentation, the Dean, Head or equivalent, shall solicit written comments related to the candidate's background, skills, and experience, from the members of the Hiring Committee and, if appropriate from academic staff members of the Home Unit, normally to be provided within three working days. All written comments shall be made available to the Hiring Committee in a timely manner, so that all such written feedback shall be reviewed and accorded appropriate weight by members of the Hiring Committee.

5.4.11   In the case of a Strategic Hire where the candidate needs to remain confidential, or a Dual Career Hire where the Primary Hire's candidacy needs to remain confidential (e.g., recruitment for a position on the university's Senior Leadership Team), appropriate steps will be taken to ensure confidentiality for those involved in the Strategic Hire or Dual Career Hire. In the case of a Dual Career Hire, with reference to the Partner Hire, it is recommended that the Primary Hire (see Part A. 1.1.xiv) be discouraged from participating in the processes outlined in 5.4.8 – 5.4.9 for

other candidates.

5.4.12 As soon as possible after the provisions outlined above have been carried out, the Dean of the Home Unit shall convene a meeting of the Hiring Committee to consider the proposed hire and to make its recommendation. The Hiring Committee shall take into account criteria as outlined in Part B, as appropriate.

6. Equitable & Inclusive Hiring Initiatives

6.1 The University is committed to equitable and inclusive hiring practices consistent with the principles of EDIA and Indigenous Strategies to achieve diverse representation in its academic staff. From time to time, the University may wish to engage in an Equitable & Inclusive Hiring Initiative in accordance with the *AHRA*.

6.2 An Equitable & Inclusive Hiring Initiative (see also Part A.1.1.ix.) means any job competition that gives preference to, or is only open to, one or more equity-deserving groups with the objective of amelioration, in accordance with the *AHRA*. In the case of a *bona fide* occupational requirement, the same procedures will apply.

6.3 The Deputy Provost, a Vice Provost, or a Dean may propose an Equitable & Inclusive Hiring Initiative which requires approval by the Provost and Vice-President (Academic).

6.4 The following information must accompany a request for the Provost's approval of an Equitable & Inclusive Hiring Initiative:

   i. An outline of the proposed initiative and its objective (e.g., decreasing under-representation, supporting community-engaged scholarship, developing certain areas of research),

   ii. A summary of evidence supporting the need for the initiative (e.g., University EDI data and/or local, provincial, and/or National data relevant to the proposed initiative),

   iii. Any proposed adjustments to the Position Posting and Academic Appointments Selection Committee,

   iv. Confirmation of consultation with Human Resources, Labour Relations, and the Faculty Association, as well as the Vice Provost (Indigenous Engagement) and/or Vice Provost (EDI), and a brief summary of those consultations,

   v. The proposed Position Posting that clearly articulates the range of candidates to whom the position is open,

   vi. Any other information that the Provost & Vice-President (Academic) deems necessary to evaluate the proposed initiative.

6.5 Once an Equitable & Inclusive Hiring Initiative has been approved, the Academic Appointment Selection Committee will be selected as described in Part C. 3.1. Once the Academic Appointment Selection Committee is in place, the procedures outlined above in Part C. 3.2 to C. 3.9 shall be followed. The language of the proposed Position Posting listed in Part C. 6.4.v. above, may, however, be revisited by the Committee before being released for publication.

7. Other Appointments

7.1 Special Limited Term Appointment

In cases where time constraints or other circumstances do not permit the use of the extraordinary procedures for a Partner Hire as described in Part C.5.2, a special Limited Term appointment may be offered [as per *Collective Agreement* Article 1.6.f)]. In this instance, the Special Limited Term appointment shall be a non-renewable one-year term, and the offer may be made without satisfying the normal advertising and selection requirements. At the conclusion of the one-year term, the special Limited Term appointment will lapse. During the one-year term, the Dean of the Home Unit may initiate a new process for expedited hiring as described above. The incumbent may at any time become a candidate for any position that may become available and be advertised in accordance with the normal procedures for selection and appointment as outlined in Part C.2. and C.3.

7.2 Conversion of Contingent and Limited Term Appointment

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

   i. a Continuing position has been allocated to the Home Unit for the same purpose in the same discipline as the Contingent Term appointment,

   ii. the incumbent was originally selected according to the competitive procedures of Part C. or by a process approved in advance by the Provost & Vice-President (Academic) as being equivalent to the procedures in Part C, and,

   iii. the incumbent has received assessments in the normal manner, that have acknowledged satisfactory performance of the normal range of duties expected of a Continuing academic appointee according to criteria in Part B,

   iv. in the case of Limited Term appointments only, all circumstances under Article 1.6(c) of the *Collective Agreement* have been removed.

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

GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE - For Approval

SUBJECT: **Retiring of the Aboriginal Student Admissions Policy**

MOTION:

That the General Faculties Council (GFC) retire the Aboriginal Student Admissions Policy, as recommended by the GFC Executive Committee.

PROPONENTS:

Michael Hart, Vice-Provost (Indigenous Engagement)
Verity Turpin, Vice-Provost (Student Experience)
Deborah Book, Legal Counsel

KEY CONSIDERATIONS/POINTS

The Aboriginal Student Admissions Policy went into effect in January 1989. It was last updated in 2005. The policy team met with members of the Indigenous Engagement Subcommittee 6 (Policies, Procedures and Practices) and the Registrar to discuss next steps for the dated document.

The aspects of this Policy that remain relevant are now captured or addressed in other places in appropriate ways. This includes the University calendar, UCalgary webpages on Indigenous pathways to admissions, and projects underway to consider approaches to identity documentation.

RISKS

There are no identified risks to retiring the policy. At present the policy presents a risk of confusion arising from multiple inconsistent sources of authority on admissions questions and may present something of a reputational risk arising from the dated language used.

RESOURCE REQUIREMENTS

No additional resources are required to action this motion.

ROUTING AND PERSONS CONSULTED

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	GFC Executive Committee	2023-04-28		X		
X	General Faculties Council	2023-05-11	X			

NEXT STEPS

If approved the policy team will remove the policy from the University's Policy page.

SUPPORTING MATERIALS

- University of Calgary Aboriginal Student Admissions Policy: https://www.ucalgary.ca/legal-services/sites/default/files/teams/1/Policies-Aboriginal-Student-Admissions-Policy.pdf
- University of Calgary Calendar A5.6 Indigenous Admissions: https://www.ucalgary.ca/pubs/calendar/current/a-5-6.html
- UCalgary webpage "Indigenous Admissions Process": https://www.ucalgary.ca/future-students/undergraduate/indigenous/admissions_process

UNIVERSITY OF CALGARY

GENERAL FACULTIES COUNCIL
Biographies of Candidates for Election

The voting for this election will be conducted electronically. A link to a MS Teams form, setting out equivalent to an election ballot, will be sent to General Faculties Council (GFC) members immediately following the May 11, 2023 meeting.

These are the biographies of the candidates who were nominated by the GFC Executive Committee and have agreed to stand for election:

Election of Two Academic Staff Members to the Advisory Review Committee for the Dean of the Werklund School of Education

Andrew Estefan, Faculty of Nursing

Dr. Andrew Estefan is a registered psychiatric nurse, associate professor, and associate dean for curriculum development and program evaluation in the Faculty of Nursing. His research and teaching interests relate to mental health/psychiatric nursing and the role of curriculum within broader personal landscapes of life making. Andrew has numerous years of experience in leadership in a professional faculty, having previously served as associate dean, teaching and learning from 2014-2017. In his current roles, he has collaborated with scholars the Werklund School of Education, most notably, in SSHRC funded research, educational development initiatives, graduate supervision, and recruitment committee service. Andrew has been active in university service for the last 14 years and has served on numerous committees including decanal advisory review and decanal search committees.

Hieu Ngo, Faculty of Social Work

Hieu Van Ngo is Associate Dean of Teaching and Learning in the Faculty of Social Work and Academic Director in the Office of Equity, Diversity and Inclusion. He has over 20 years of leadership experience in governance, organizational management and community practice. He has served as an executive director, co-founding member, board member, vice-chair and chair of several organizations, and worked collaboratively with board members, staff, service partners and community members in strategic planning, development and implementation of operational plans, organizational change and transition, fund development, financial management, media relations, community engagement, strategic partnerships, policy development and advocacy. As an academic member, Dr. Ngo has contributed to many faculty and university committees and working groups, including the GFC Teaching and Learning Committee, Academic Sustainability Committee and Presidential Task Force on Equity, Diversity, Inclusion and Accessibility.

Michael Ullyot, Faculty of Arts

Michael Ullyot is an Associate Professor of English at the University of Calgary. Formerly Associate Dean in the Faculty of Arts (2013-15), he is also the author of *The Rhetoric of Exemplarity in Early Modern England* (Oxford University Press, 2022). His research also includes articles and chapters on Shakespeare and virtual reality; on algorithms for detecting rhetorical figures; on a quantitative model of the English-language sonnet; and on archives and artificial intelligence. For full research details see orcid.org/0000-0002-2781-8545.

Kristine Bauer, Faculty of Science

Dr. Kristine Bauer is an Associate Professor at the University of Calgary, and an expert in algebraic topology. She is one of the founding members of the Women in Topology (WIT) network, a grass-roots organization aimed at the retention of women in the field of homotopy theory. A passionate teacher, she won the University of Calgary Great Supervisor Award in 2014, the Faculty of Science Excellence in Teaching award in 2016, and the University of Calgary Teaching Award for Full-Time Academic Staff in 2019. In 2019, Dr. Bauer became a fellow in the prestigious Executive Leadership in Academic Technology, Engineering and Science (ELATES) program at Drexel University. In 2020, together with Dr. James Colliander, she founded the PIMS Math to Power Industry Program, a training program for graduate students in the mathematical sciences who wish to transition from academic programs into meaningful industrial jobs. Dr. Bauer was the Calgary Site Director for PIMS during 2019 - 2022 and has been the PIMS Co-Director, Industry since July 1, 2022.

GENERAL FACULTIES COUNCIL
ACTION BRIEFING NOTE - For Discussion

SUBJECT: Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity

PROPONENTS/PRESENTERS:

Anne Wigham, Protected Disclosure Advisor
William Ghali, Vice-President (Research)
Deborah Book, Legal Counsel

KEY CONSIDERATIONS/POINTS

Over the past few years we have identified opportunities to improve the approach to Research Integrity at the University. Many of these were implemented promptly through operational or process revisions while we considered and reflected on policy updates. We are now moving forward with proposed revisions to incorporate recent changes to Tri-Council Standards and incorporate adjustments to continuously improve our process after reflecting on lessons learned from experiences across the U15 research community.

RISKS

The proposed revisions will reduce the risk of non-compliance with requirements, including Tri-Council Standards and legal standards, in resolving Research Integrity concerns.

RESOURCE REQUIREMENTS

The proposed revisions are not anticipated to have any budget implications.

ROUTING AND PERSONS CONSULTED

The following have been invited to provide feedback on the proposed revisions:

- The University of Calgary Faculty Association (TUCFA)
- Alberta Union of Provincial Employees (AUPE)
- Management and Professional Staff (MaPS) Executive Committee
- Graduate Students' Association (GSA)
- Deans' Council
- Conjoint Faculties Research Ethics Board (CFREB)
- Conjoint Health Research Ethics Board (CHREB)
- Faculty of Graduate Studies (FGS)
- Equity, Diversity and Inclusion (EDI) Lens Review
- Indigenous Lens Review
- Mental Health Lens Review

The proposed revisions are anticipated to proceed to governance as described in the following table:

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	Research & Scholarship Committee	April 20, 2023			X	
	General Faculties Council Executive Committee	April 28, 2023			X	
X	General Faculties Council	May 11, 2023			X	
	Research & Scholarship Committee	May 18, 2023		X		
	General Faculties Council	June 15, 2023	X			
	Board of Governors	June 23, 2023				X

NEXT STEPS

The drafting team will consider feedback from this discussion alongside that received from others invited to consult, before presenting the documents to the General Faculties Council for discussion.

SUPPORTING MATERIALS

Proposed revised Research Integrity Policy and Procedure, and blackline showing changes to current.

UNIVERSITY OF CALGARY

Research Integrity Policy

Classification	Table of Contents
Research	
Approval Authority	
General Faculties Council	
Implementation Authority	
Vice-President (Research)	
Effective Date	
December 12, 2014	
Last Revision	
N/A	

1   Purpose

The purpose of this policy is to:

a) promote integrity in Research;
b) ensure compliance with applicable law;
c) ensure that Research is conducted in accordance with the University's expectations for ethical conduct; and
d) promote an awareness of Research ethics within the University community.

2   Scope

This policy applies to Research that:

a) is conducted by ~~University~~Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, ~~or Students;~~

~~b)~~a) ~~is undertaken~~and any other person who conducts Research under the auspices of, or in Affiliation with, the University; or

b) uses University equipment, facilities, space, resources, Employees, Postdoctoral Scholars, or Students.

This policy and the related procedure apply to concerns about allegedly improper use of Intellectual Property only to the extent that the alleged use constitutes a breach of this policy.

3   Definitions

In this policy:

a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under the collective agreement between The University of Calgary Faculty Association and the Governors of the University of Calgary.

a)b) "Affiliation" means a close connection or formal relationship as defined and interpreted by Tri-Council.

b)c) "Affiliate" means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.

c)d) "Animal" means any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms used for Research, teaching, breeding, or testing purposes.

d)e) "Animal Care Committee" means the University Animal Care Committee, the Health Sciences Animal Care Committee, the Life and Environmental Sciences Animal Care Committee or the Veterinary Sciences Animal Care Committee.

e)f) "Conflict of Interest" means activities or situations that may place an individual in a real, potential or perceived conflict between their duties or responsibilities related to Research, and personal, University or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates. This definition of Conflict of Interest is as defined and interpreted by Tri-Council in the Tri-Agency Responsible Conduct of Research Framework.

f)g) "Employee" means an individual who is engaged to work for the University under an employment contract or collective agreement.

h) "Human" or "Humans" means Human Participants, or human beings or biological materials, as well as human embryos, fetuses, fetal tissue as defined, reproductive materials, and stem cells. This applies to materials derived from living and deceased individuals.

i) "Human Participants" are individuals whose data, biological materials, or responses to interventions, stimuli or questions by a Researcher, are relevant to answering the Research question(s).

g)j) "Indigenous Peoples" means the definition of Indigenous Peoples provided by the Tri-Council Policy Statement: on Ethical Conduct for Research Involving Humans: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Mètis descent and their communities.

h)k) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.

i)l) "Researcher" means an individual, who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.

j)m) "Research Ethics Board" means the Conjoint Faculties Research Ethics Board (CFREB) and/or the Conjoint Health Research Ethics Board (CHREB).

k)n) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out Research at the University under the direction or mentorship of a supervising academic staff member.

l)o) "Student" means an individual registered in a University course or program of study.

m)p)   "Tri-Council" and "Tri-Agency" means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).

q)   "University" means the University of Calgary.

4   Policy Statement   **4.1**   All Research at the University will be conducted in accordance with the Tri-Council Policy Statements, including the *Tri-Agency Framework: Responsible Conduct of Research (as revised from time to time)* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.

4.2   Deans, Department Heads or the Director of the academic unit will ensure that their Researchers:

a)   understand their responsibilities under this policy;

b)   receive appropriate training through Research Services or other appropriate sources in the skills necessary for the ethical conduct of Research. This may include Tri-Council or other reputable training on Research ethics, compliance, safety, or Research security; and

c)   are aware of and comply with applicable law, ethical and professional standards, guidelines and policies and contractual obligations relevant to the Research.

4.3   Individuals who undertake Research will be thoroughly familiar with and will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.

Responsible Conduct of Research

4.4   Researchers will strive to follow the best Research practices honestly, accountably, openly and fairly in the search for and in the dissemination of knowledge. In addition, Researchers will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.

At a minimum, Researchers are responsible for the following:

a)   using a high level of rigour in proposing and performing Research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings;

b)   keeping complete and accurate records of data, methods and findings, including graphs and images, in accordance with the applicable funding agreement, University policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of thetheir work by others;

c)   referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methods, findings, graphs and images;

d)   including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their

respective contributions, and authorship policies of relevant ~~publications~~publishers;

e) acknowledging, in addition to authors, all contributors and contributions to Research, including writers, funders and sponsors; and

f) reporting and managing any real, potential or perceived Conflict of Interest in accordance with any applicable policies and procedures.

Research Involving Humans

4.5 Research involving Humans will be conducted in accordance with the *Tri- Council Policy Statement: Ethical Conduct for Research Involving Humans*~~, as revised from time to time~~ as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.

4.6 Research involving Indigenous Peoples will be conducted in accordance with the principles of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* and the United Nations Declaration on the Rights of Indigenous Peoples.

~~4.6~~4.7 Research proposals involving Humans will be reviewed by a Research Ethics Board when required by Tri-Council ~~guidelines~~Policy. In some cases, a Research proposal may need to be reviewed by more than one Research Ethics Board.

~~4.7~~4.8 The University may authorize ~~a~~its Research Ethics Board(s) to accept ethics reviews undertaken by an external research ethics board. For greater than minimal risk research ethics reviews undertaken by an external ethics board may only be accepted where such authorization is based on an official, cross-institutional agreement.

~~4.8~~4.9 Research protocols involving Humans will not be undertaken if the protocol has not received formal ethics approval by the appropriate Research Ethics Board. This prohibition includes:

~~a)~~ ~~publication, advertising,~~any recruitment or interaction with Human Participants, their tissues and ~~written~~/or their data, collection and ~~oral~~/or analyses of data, presentation~~;~~

~~b)~~a)/dissemination of data; the use of services, facilities, and space at the University and at an Affiliated organization; ~~and~~or

~~c)~~b) spending funds.

~~Note: Accounts may be opened and funds may be spent for administrative purposes only.~~

~~4.9~~ ~~A Researcher may request reconsideration of an interim decision made by a Research Ethics Board.~~

Absent formal ethics approval by the appropriate Research Ethics Board, Research accounts may be opened and funds may be spent only in accordance with Research Accounting guidelines for early release of funds.

4.10 A Researcher who is a principal investigator may appeal a decision made by a Research Ethics Board to the Research Ethics Appeal Board.

4.11 The Research Ethics Appeal Board will maintain procedures governing the conduct of appeal hearings.

Research Involving Animals

4.12 Research involving the use of Animals and tissues derived from Animals will be conducted in accordance with applicable laws and regulations and the University's ethical standards for Animal research and will adhere to:

a) the Canadian Council on Animal Care (CCAC) guidelines, policies and standards;

b) the Canadian Association of Laboratory Animal Medicine (CALAM)/ACMAL) Standards of Veterinary Care; and

c) Standards of Veterinary Care; and

d) the Alberta Veterinary Medical Association (AVMAABVMA) professional codes and standards;

e)c) as revised from time to time.

4.13 Animals and tissues derived from Animals are only to be used for Research purposes when there is a reasonable expectation of obtaining knowledge that will benefit people or Animals.

4.14 For Research involving Animals and tissues derived from Animals the University will also consider compliance with the requirements of other organizations on a project-by-project basis provided that these do not diminish or lessen the standards of care and conduct that would otherwise apply.

4.15 The appropriate Animal Care Committee will review the ethics of proposed teaching, Research or testing involving Animals and tissues derived from Animals.

4.16 The appropriate Animal Care Committee will determine if the proposed protocols comply with applicable law. If the Animal Care Committee finds that they are compliant, the protocols will be approved by the Animal Care Committee.

4.17 Findings of the Animal Care Committee may be appealed to the Vice-President (Research).

4.18 Research protocols involving Animals and tissues derived from Animals will not be undertaken if the protocols have not received formal ethicalethics approval by the appropriate Animal Care Committee. This prohibition includes:

a) publication, advertising,any interaction involving Animals their tissues and written/or their data, collection and oral/or analyses of data, presentation/dissemination of data;

b) the use of services, facilities, and space at the University and at an Affiliate organization; and

c) spending funds.

Note: Accounts may be opened and funds may be spent for administrative purposes only.

Absent formal ethics approval by the appropriate Animal Care Committee, Research accounts may be opened and funds may be spent only in accordance with Research Accounting guidelines for early release of funds.

4.19 The University will acquire and maintain only the number and type of Animals that can be accommodated in existing facilities in accordance with applicable law.

4.20 Approval of a protocol, authorization of a Research grant, or receipt of a contract does not guarantee that the University will be able to acquire, house, and care for the Research or laboratory Animals specified under the terms of the project if, at the time the work is to proceed, the capacity of the University's facilities is otherwise fully utilized or space is unavailable.

Breach of Research Integrity
Conduct of Research

4.21 A breach of Research integrity includes, but is not limited to, the following:

a) *Fabrication*: Making up data, source material, methods or findings, including graphs and images.

b) *Falsification*: Manipulating, changing, or omitting data, source material, methods or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.

c) *Destruction of Research records*: The destruction of one's own or another's Research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, University policy and/or laws, regulations and professional or disciplinary standards.

d) *Plagiarism*: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methods or findings, including graphs and images, as one's own, without appropriate referencing and, if required, permission.

e) *Redundant publications*: The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.

f) *Invalid authorship*: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.

g) *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.

h) *Failure to declare Conflict of Interest*: Failure to declare any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

i) *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

Funding Applications

4.22 It is a breach of Research integrity to make a misrepresentation in a funding application or related document, including:

a) providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report;

b) applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other Research or Research funding organization world-wide for

reasons of breach of responsible conduct of Research policies such as ethics, integrity or financial management policies; or

c) the listing of co-applicants, collaborators or partners without their agreement.

Management of Funds

4.23 With respect to Research funds, it is a breach of Research integrity to:

a) provide incomplete, inaccurate or false information in a grant, award, or other funding application or related document;

b) use sponsored Research funds for purposes inconsistent with the policies of the funding agency;

c) misappropriate sponsored Research funds;

d) contravene the financial policies of the funding agency; or

e) provide incomplete, inaccurate or false information on documentation for expenditures from sponsored Research accounts.

Policies and Ethics Approvals

4.24 It is a breach of Research integrity to fail to meet funding agency policy requirements or to fail to comply with relevant policies, laws or regulations.

4.25 For certain types of Research activities, including Research involving Humans, Animals, or biohazards, it is a breach of Research integrity to fail to obtain the appropriate approvals, permits or certifications before conducting these Research activities.

Responsibility to Report Breaches of Research Integrity

4.26 Every person that is subject to the policy who has reasonable grounds to believe that a breach of Research integrity is occurring or has occurred shall promptly report the matter, in writing, to the Protected Disclosure Advisor, in accordance with the Procedure for Investigating a Breach of Research Integrity.

Violations

4.264.27 Violations of this policy will be managed in accordance with the procedure established and maintained by the Vice-President (Research), specifically under the Procedure for Investigating a Breach of Research Integrity.

4.274.28 Individuals found to have violated this policy may lose the privilege of conducting Research and may also be subject to penalties or discipline under University policies and procedures, applicable collective agreements and applicable law.

Records

4.284.29 Research data and records will be kept in accordance with the University's established record retention rules.

5 Responsibilities

5.1 Researchers will:

a) become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;

b) comply with this policy and applicable law, ethical and professional standards, guidelines and contractual obligations for their Research projects;
c) ensure that all Research they are involved with complies with this policy, applicable law, ethical and professional standards, guidelines and contractual obligations; and
d) complete the Annual Financial and Compliance and Eligibility Certificate form.

5.2 Deans, Department Heads and Directors of academic units will:
a) become familiar with the requirements of this policy and the Procedure for Investigating a Breach of Research Integrity;
b) ensure that Researchers in their faculty, department or unit understand their responsibilities under this policy;
c) ensure Researchers in their faculty, department or unit receive appropriate training through Research Services or other appropriate sources (e.g. TCPS CORE Tutorial, CITI training modules) in the skills necessary for the ethical conduct of Research; and
d) ensure Researchers in their faculty, department or unit are aware of applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.3 Research Services will:
a) provide appropriate support and training for Researchers relating to the ethical conduct of Research; and
b) provide guidance to Researchers on applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.4 CFREB will:
a) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
b) approve a protocol with or without modifications or reject a protocol.

5.5 CHREB will:
a) review any Research proposal from Researchers Affiliated with the faculties of Kinesiology, Medicine and Nursing;
b) review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and
c) approve a protocol with or without modifications or reject a protocol.

5.6 Each Animal Care Committee will:
a) review any Research proposal involving Animals or tissue derived from Animals or otherwise referred to it to ensure that it meets acceptable ethical standards; and
b) approve a protocol with or without modifications or reject a protocol.

5.7 The Protected Disclosure Advisor will:
a) serve as the University's central point of contact to receive all confidential enquiries, allegations of breaches of this policy, and information related to allegations; and,
b) facilitate the University's Procedure for Investigating a Breach of Research Integrity with respect to all allegations of breaches of this policy including ensuring that all individuals who are participants in the investigation process (i.e.,

complainants, witnesses, and respondents) are provided with information on supports available to them.

6	Related Policies	Code of Conduct
6	**Appendices**	CHREB Terms of Reference
		Research Ethics Appeal Board
		Research Ethics Website
		Animal Health Unit Website
7	**Procedure**	Investigating a Breach of Research Integrity, Procedure for
78	**Related** ProceduresPolicies	Code of Conduct
89	**Related** Guidelines/Forms	Annual Financial and Administrative Compliance and Eligibility Certificate
910	**Related Information**	University of Calgary
		Conjoint Faculties Research Ethics Board (CFREB)
		Conjoint Health Research Ethics Board (CHREB)
		Ethics and compliance
		Research Ethics Appeal Board
		Animal Health Unit
		Other
		Health Research Ethics Board of Alberta (HREBA)
		Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS 2)
		Canadian Council on Animal Care (CCAC), Standards
		Canadian Association for Laboratory Animal Medicine, Standards of Veterinary Care
		Alberta Veterinary Medical Association (ABVMA), Legislation
		A pRoject Ethics Community Consensus Initiative (ARECCI)
		Health Information Act: Guidelines and Practices ManualTCPS 2 Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans
		Canadian Council on Animal Care Policy and Guidelines
		The Canadian Association of Laboratory Animal Medicine Standards of Veterinary Care
		The Alberta Veterinary Association professional codes and standards
		ARECCI
		Province of Alberta Health Information Act: Guidelines and Practices Manual
		FAQs Acceptable Conduct Pending Ethics Approval
1011	**History**	December 12, 2014 Approved and Effective. This policy replaceswill replace the Animal Care and Use Policy (2008); the Human Subject Research Ethics Policy (2008); the Integrity in Scholarly Activity Policy (1995) and the Northern Research Ethics Policy (1977).
		October 31, 2018Approved: Editorial Revision. Updated "Student" December 12, 2014

Deleted Cells

Effective:	December 12, 2014
Editorial Change:	October 31, 2018 (definition. of "Student")
January 1, 2020	Editorial Revision. Updated format and links.

University Policy
University Procedure
Operating Standard
Guideline/Form

Research Integrity Policy

Classification Research	**Table of Contents**
Approval Authority General Faculties Council	
Implementation Authority Vice-President (Research)	
Effective Date December 12, 2014	
Last Revision N/A	

1   Purpose

The purpose of this policy is to:

a) promote integrity in Research;
b) ensure compliance with applicable law;
c) ensure that Research is conducted in accordance with the University's expectations for ethical conduct; and
d) promote an awareness of Research ethics within the University community.

2   Scope

This policy applies to Research that:

a) is conducted by Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, and any other person who conducts Research under the auspices of, or in Affiliation with, the University; or
b) uses University equipment, facilities, space, resources, Employees, Postdoctoral Scholars, or Students.

This policy and the related procedure apply to concerns about allegedly improper use of Intellectual Property only to the extent that the alleged use constitutes a breach of this policy.

3   Definitions

In this policy:

a) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under the collective agreement between The University of Calgary Faculty Association and the Governors of the University of Calgary.

b) "Affiliation" means a close connection or formal relationship as defined and interpreted by Tri-Council.

c) "Affiliate" means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.

d) "Animal" means any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms used for Research, teaching, breeding, or testing purposes.

e) "Animal Care Committee" means the University Animal Care Committee, the Health Sciences Animal Care Committee, the Life and Environmental Sciences Animal Care Committee or the Veterinary Sciences Animal Care Committee.

f) "Conflict of Interest" means activities or situations that may place an individual in a real, potential or perceived conflict between their duties or responsibilities related to Research, and personal, University or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates. This definition of Conflict of Interest is as defined and interpreted by Tri-Council in the Tri-Agency Responsible Conduct of Research Framework.

g) "Employee" means an individual who is engaged to work for the University under an employment contract or collective agreement.

h) "Human" or "Humans" means Human Participants, or human biological materials, as well as human embryos, fetuses, fetal tissue, reproductive materials, and stem cells. This applies to materials derived from living and deceased individuals.

i) "Human Participants" are individuals whose data, biological materials, or responses to interventions, stimuli or questions by a Researcher, are relevant to answering the Research question(s).

j) "Indigenous Peoples" means the definition of Indigenous Peoples provided by the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Mètis descent and their communities.

k) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.

l) "Researcher" means an individual, who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.

m) "Research Ethics Board" means the Conjoint Faculties Research Ethics Board (CFREB) and/or the Conjoint Health Research Ethics Board (CHREB).

n) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out Research at the University under the direction or mentorship of a supervising academic staff member.

o) "Student" means an individual registered in a University course or program of study.

p) "Tri-Council" and "Tri-Agency" means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).

q) "University" means the University of Calgary.

4   Policy Statement   **4.1**   All Research at the University will be conducted in accordance with the Tri-Council Policy Statements, the *Tri-Agency Framework: Responsible Conduct of Research* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.

4.2   Deans, Department Heads or the Director of the academic unit will ensure that their Researchers:

a)   understand their responsibilities under this policy;

b)   receive appropriate training through Research Services or other appropriate sources in the skills necessary for the ethical conduct of Research. This may include Tri-Council or other reputable training on Research ethics, compliance, safety, or Research security; and

c)   are aware of and comply with applicable law, ethical and professional standards, guidelines and policies and contractual obligations relevant to the Research.

4.3   Individuals who undertake Research will be thoroughly familiar with and will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.

Responsible Conduct of Research

4.4   Researchers will strive to follow the best Research practices honestly, accountably, openly and fairly in the search for and in the dissemination of knowledge. In addition, Researchers will comply with applicable law, ethical and professional standards, guidelines, policies and contractual obligations.

At a minimum, Researchers are responsible for the following:

a)   using a high level of rigour in proposing and performing Research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings;

b)   keeping complete and accurate records of data, methods and findings, including graphs and images, in accordance with the applicable funding agreement, University policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of their work by others;

c)   referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methods, findings, graphs and images;

d)   including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions, and authorship policies of relevant publishers;

e)   acknowledging, in addition to authors, all contributors and contributions to Research, including writers, funders and sponsors; and

f)   reporting and managing any real, potential or perceived Conflict of Interest in accordance with any applicable policies and procedures.

Research Involving Humans

4.5 Research involving Humans will be conducted in accordance with the *Tri- Council Policy Statement: Ethical Conduct for Research Involving Humans* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.

4.6 Research involving Indigenous Peoples will be conducted in accordance with the principles of the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* and the United Nations Declaration on the Rights of Indigenous Peoples.

4.7 Research proposals involving Humans will be reviewed by a Research Ethics Board when required by Tri-Council Policy. In some cases, a Research proposal may need to be reviewed by more than one Research Ethics Board.

4.8 The University may authorize its Research Ethics Board(s) to accept ethics reviews undertaken by an external research ethics board. For greater than minimal risk research ethics reviews undertaken by an external ethics board may only be accepted where such authorization is based on an official, cross-institutional agreement.

4.9 Research protocols involving Humans will not be undertaken if the protocol has not received formal ethics approval by the appropriate Research Ethics Board. This prohibition includes:

a) any recruitment or interaction with Human Participants, their tissues and/or their data, collection and/or analyses of data, presentation/dissemination of data; the use of services, facilities, and space at the University and at an Affiliated organization; or

b) spending funds.

Absent formal ethics approval by the appropriate Research Ethics Board, Research accounts may be opened and funds may be spent only in accordance with Research Accounting guidelines for early release of funds.

4.10 A Researcher who is a principal investigator may appeal a decision made by a Research Ethics Board to the Research Ethics Appeal Board.

4.11 The Research Ethics Appeal Board will maintain procedures governing the conduct of appeal hearings.

Research Involving Animals

4.12 Research involving the use of Animals and tissues derived from Animals will be conducted in accordance with applicable laws and regulations and the University's ethical standards for Animal research and will adhere to:

a) the Canadian Council on Animal Care (CCAC) guidelines, policies and standards;

b) the Canadian Association of Laboratory Animal Medicine (CALAM/ACMAL) Standards of Veterinary Care; and

c) the Alberta Veterinary Medical Association (ABVMA) professional standards.

4.13 Animals and tissues derived from Animals are only to be used for Research purposes when there is a reasonable expectation of obtaining knowledge that will benefit people or Animals.

4.14 For Research involving Animals and tissues derived from Animals the University will also consider compliance with the requirements of other organizations on a project-by-project basis provided that these do not diminish or lessen the standards of care and conduct that would otherwise apply.

4.15 The appropriate Animal Care Committee will review the ethics of proposed teaching, Research or testing involving Animals and tissues derived from Animals.

4.16 The appropriate Animal Care Committee will determine if the proposed protocols comply with applicable law. If the Animal Care Committee finds that they are compliant, the protocols will be approved by the Animal Care Committee.

4.17 Findings of the Animal Care Committee may be appealed to the Vice-President (Research).

4.18 Research protocols involving Animals and tissues derived from Animals will not be undertaken if the protocols have not received formal ethics approval by the appropriate Animal Care Committee. This prohibition includes:

 a) any interaction involving Animals their tissues and/or their data, collection and/or analyses of data, presentation/dissemination of data;
 b) the use of services, facilities, and space at the University and at an Affiliate organization; and
 c) spending funds.

 Absent formal ethics approval by the appropriate Animal Care Committee, Research accounts may be opened and funds may be spent only in accordance with Research Accounting [guidelines](#) for early release of funds.

4.19 The University will acquire and maintain only the number and type of Animals that can be accommodated in existing facilities in accordance with applicable law.

4.20 Approval of a protocol, authorization of a Research grant, or receipt of a contract does not guarantee that the University will be able to acquire, house, and care for the Research or laboratory Animals specified under the terms of the project if, at the time the work is to proceed, the capacity of the University's facilities is otherwise fully utilized or space is unavailable.

Breach of Research Integrity
Conduct of Research

4.21 A breach of Research integrity includes, but is not limited to, the following:

 a) *Fabrication*: Making up data, source material, methods or findings, including graphs and images.
 b) *Falsification*: Manipulating, changing, or omitting data, source material, methods or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.
 c) *Destruction of Research records*: The destruction of one's own or another's Research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, University policy and/or laws, regulations and professional or disciplinary standards.
 d) *Plagiarism*: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methods or findings,

including graphs and images, as one's own, without appropriate referencing and, if required, permission.

e) *Redundant publications*: The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.

f) *Invalid authorship*: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.

g) *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.

h) *Failure to declare Conflict of Interest*: Failure to declare any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

i) *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

Funding Applications

4.22 It is a breach of Research integrity to make a misrepresentation in a funding application or related document, including:

a) providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report;

b) applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other Research or Research funding organization world-wide for reasons of breach of responsible conduct of Research policies such as ethics, integrity or financial management policies; or

c) the listing of co-applicants, collaborators or partners without their agreement.

Management of Funds

4.23 With respect to Research funds, it is a breach of Research integrity to:

a) provide incomplete, inaccurate or false information in a grant, award, or other funding application or related document;

b) use sponsored Research funds for purposes inconsistent with the policies of the funding agency;

c) misappropriate sponsored Research funds;

d) contravene the financial policies of the funding agency; or

e) provide incomplete, inaccurate or false information on documentation for expenditures from sponsored Research accounts.

Policies and Ethics Approvals

4.24 It is a breach of Research integrity to fail to meet funding agency policy requirements or to fail to comply with relevant policies, laws or regulations.

4.25 For certain types of Research activities, including Research involving Humans, Animals, or biohazards, it is a breach of Research integrity to fail to obtain the

appropriate approvals, permits or certifications before conducting these Research activities.

Responsibility to Report Breaches of Research Integrity

4.26 Every person that is subject to the policy who has reasonable grounds to believe that a breach of Research integrity is occurring or has occurred shall promptly report the matter, in writing, to the Protected Disclosure Advisor, in accordance with the Procedure for Investigating a Breach of Research Integrity.

Violations

4.27 Violations of this policy will be managed in accordance with the procedure established and maintained by the Vice-President (Research), specifically under the Procedure for Investigating a Breach of Research Integrity.

4.28 Individuals found to have violated this policy may lose the privilege of conducting Research and may also be subject to penalties or discipline under University policies and procedures, applicable collective agreements and applicable law.

Records

4.29 Research data and records will be kept in accordance with the University's established record retention rules.

5   Responsibilities

5.1 Researchers will:

a)   become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;

b)   comply with this policy and applicable law, ethical and professional standards, guidelines and contractual obligations for their Research projects;

c)   ensure that all Research they are involved with complies with this policy, applicable law, ethical and professional standards, guidelines and contractual obligations; and

d)   complete the Annual Financial and Compliance and Eligibility Certificate form.

5.2 Deans, Department Heads and Directors of academic units will:

a)   become familiar with the requirements of this policy and the Procedure for Investigating a Breach of Research Integrity;

b)   ensure that Researchers in their faculty, department or unit understand their responsibilities under this policy;

c)   ensure Researchers in their faculty, department or unit receive appropriate training through Research Services or other appropriate sources (e.g. TCPS CORE Tutorial, CITI training modules) in the skills necessary for the ethical conduct of Research; and

d)   ensure Researchers in their faculty, department or unit are aware of applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.3 Research Services will:

a)   provide appropriate support and training for Researchers relating to the ethical conduct of Research; and

     b)   provide guidance to Researchers on applicable law, ethical and professional standards, guidelines and contractual obligations for their Research.

5.4   CFREB will:

     a)   review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and

     b)   approve a protocol with or without modifications or reject a protocol.

5.5   CHREB will:

     a)   review any Research proposal from Researchers Affiliated with the faculties of Kinesiology, Medicine and Nursing;

     b)   review any Research proposal involving Humans submitted or otherwise referred to it to ensure that it meets acceptable ethical standards; and

     c)   approve a protocol with or without modifications or reject a protocol.

5.6   Each Animal Care Committee will:

     a)   review any Research proposal involving Animals or tissue derived from Animals or otherwise referred to it to ensure that it meets acceptable ethical standards; and

     b)   approve a protocol with or without modifications or reject a protocol.

5.7   The Protected Disclosure Advisor will:

     a)   serve as the University's central point of contact to receive all confidential enquiries, allegations of breaches of this policy, and information related to allegations; and,

     b)   facilitate the University's Procedure for Investigating a Breach of Research Integrity with respect to all allegations of breaches of this policy including ensuring that all individuals who are participants in the investigation process (i.e., complainants, witnesses, and respondents) are provided with information on supports available to them.

6	**Appendices**	CHREB Terms of Reference Research Ethics Appeal Board Research Ethics Website Animal Health Unit Website
7	**Procedure**	Investigating a Breach of Research Integrity, Procedure for
8	**Related Policies**	Code of Conduct
9	**Related Forms**	Annual Financial and Administrative Compliance and Eligibility Certificate
10	**Related Information**	TCPS 2 Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans Canadian Council on Animal Care Policy and Guidelines The Canadian Association of Laboratory Animal Medicine Standards of Veterinary Care The Alberta Veterinary Association professional codes and standards ARECCI Province of Alberta Health Information Act: Guidelines and Practices Manual

FAQs Acceptable Conduct Pending Ethics Approval

11 History   This policy will replace the Animal Care and Use Policy (2008); the Human Subject Research Ethics Policy (2008); the Integrity in Scholarly Activity Policy (1995) and the Northern Research Ethics Policy (1977).

Approved: December 12, 2014

Effective: December 12, 2014

Editorial Change: October 31, 2018 (definition of "Student")

UNIVERSITY OF CALGARY

~~Investigating a Breach of Research Integrity, Procedure for~~ Procedure for Investigating a Breach of Research Integrity

Classification 　Research	**Table of Contents**
	1　Purpose 1
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Last Revision 　N/A	

1　Purpose

~~The purpose of this~~This procedure ~~is to outline~~outlines the process by which:
Individuals may make an allegation

a)　of a breach of the Research Integrity Policy ~~is investigated~~to the University;

b)　the University will respond to an allegation of a breach of the Research Integrity Policy; and

c)　individuals will be protected from Reprisals for making an allegation.

This procedure is not intended to address the process for reporting an allegation directly to the relevant Agency.

2　Scope

This procedure applies to Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, and any other person who conducts Research under the auspices of, or in Affiliation with, the University.

This procedure applies to all allegations of breaches of the Research Integrity Policy reported to the University, regardless of the source of ~~funding for~~ the research~~.~~

~~This procedure will apply even if the allegation is submitted as a protected disclosure~~ funding, including those allegations made under the Procedure for Protected Disclosure.

Nothing in this procedure precludes an individual from reporting an allegation to the relevant Agency.

3　Definitions

In this procedure:

a)d) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under Article 1 of the collective agreement between the Faculty Association of theThe University of Calgary Faculty Association and the Governors of the University of Calgary in effect at the relevant time.

b)e) "Affiliation" means a close connection or formal relationship as defined and interpreted by Tri-Council.

f) "Affiliate" means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.

c)g) "Agency" refers to any one of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC).

d)h) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, and visiting researchers and scholars.

e)i) "Business Days" means days that the University is open for business, excluding weekends and holiday closures.

f)j) "Complainant" means an individual who has notified the University or an Agency ofthe person making an allegation of a breach of the Research Integrity Policy.

g)k) "Dean" means the dean(s) of the faculty(ies) in which the Respondent holds an appointment or is registered or the Provost and Vice-President (Academic) if the Respondent is a Dean or the President if the Respondent is the Provost and Vice-President (Academic) or the Vice-President (Research).

h)l) "Employee" means an individual, other than an Academic Staff Member or Appointee, who is engaged to work for the University under an employment contract or collective agreement.

m) "Good Faith" as applied to an allegation means that it is submitted with the intent to achieve the purposes of the University's Research Integrity Policy and is not submitted for another purpose that is frivolous or vexatious (e.g., to harass a colleague) or in a manner in which it makes it challenging for a neutral and impartial inquiry or investigation to be carried out.

n) "Indigenous Peoples" means the definition of Indigenous Peoples provided by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Mètis descent and their communities.

o) "Investigation Committee" means the person or persons appointed by the Protected Disclosure Advisor to investigate an allegation of a breach of the Research Integrity Policy.

i)p) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.

j) "Reprisal" means reprisals as defined in the University Code of Conduct.

q)   "Reprisal" means Retaliatory Measures that are taken against an individual because they have sought advice about making an allegation of a breach of research integrity, made an allegation of a breach of research integrity in Good Faith, co-operated in an investigation of a breach of research integrity, or declined to participate in a breach of research integrity.

k)r) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting and analyzing data, and disseminating results.

s)   "Research Records" means the record of data or results that embody the facts resulting from scholarly or scientific inquiry, or creative practice including but not limited to, Research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to an Agency, or University official in the course of a preliminary review or investigation of an allegation of breach of the University's Research Integrity policy.

l)t)   "Researcher" means an individual, who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.

m)u)   "Respondent" means a Researcher who is identified in an allegation as having possiblyalleged to have breached the Research Integrity Policy.

n)v) "Responsible Allegation" means an allegation which:
   i.   appears to be made in good faithGood Faith;
   ii. is based on alleged facts which have not been the subject of a previous allegation; and
   iii. if the alleged facts are true, falls within one or more of the breaches set out in Sections 4.21 to 4.25 of the Research Integrity Policy.; and
   iv. if proven, would have constituted a breach of the Research Integrity Policy at the time the alleged breach occurred.

w)   "Retaliatory Measures" means:
   i.   a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
   ii. any act that adversely affects the employment, working conditions, or education of the individual; and
   iii. a threat to do any of the above

o)x) "SRCR" means the Secretariat on Responsible Conduct of Research which provides substantive and administrative support for the Tri-Agency. Framework: Responsible Conduct of Research (as revised from time to time).

p)y) "Student" means an individual registered in a University course or program of study.

z)   "Tri-Council" means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).

aa) "University" means the University of Calgary.

4   Procedure   **Making an Allegation**

4.1   An individual, either internal or external to the University, may submit any of the following to the ~~Protected Disclosure Advisor:~~Protected Disclosure Advisor:

    a)   an inquiry regarding a breach of the Research Integrity Policy;

    b)   an allegation of a breach of the Research Integrity Policy; or

    c)   information related to an allegation of a breach of the Research Integrity Policy.

4.2   An allegation of a breach of the Research Integrity Policy must be in writing ~~and signed by the Complainant. An anonymous allegation will not be acted upon.~~. The allegation should contain enough information to permit an evaluation of whether the alleged misconduct constitutes a breach of the Research Integrity Policy and to permit further information gathering about the alleged misconduct. The allegation should include:

    a)   ~~The University will protect a Complainant who makes a good faith allegation of a breach~~Identification of the ~~Research Integrity Policy or who provides~~Respondent(s);

    b)   Location and time that the alleged misconduct occurred;

    c)   Sufficient detail about the nature of the alleged misconduct; and

    d)   Name, signature and contact information ~~related to such an~~ of the Complainant(s).

4.3   An anonymous allegation will be assessed and investigated if determined to be a Responsible Allegation, if the allegation ~~from Reprisals~~is accompanied by sufficient information to ~~the extent possible~~enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the Complainant.

4.4   Where the allegation is related to conduct that occurred at another institution, the Protected Disclosure Advisor will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The Protected Disclosure Advisor must communicate to the Complainant which of the University or other institution will conduct the inquiry and investigation, if warranted.

4.5   Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the principles of procedural fairness and natural justice, the Protected Disclosure Advisor will ensure the confidentiality of the information collected and will protect the identity of the persons involved in the disclosure process, including the Complainant, any witnesses and the Respondent, to the fullest extent possible ~~given the need for~~. When information is shared it will normally be related to requirements pertaining to the following circumstances:

    a)   establishing interim measures to address the allegation, if needed;

    b)   initiating, investigating and resolving the allegation;

    ~~a)~~c) conforming to the principles of due process ~~in pursuing the allegation.~~and natural justice,

    d)   ~~Receiving an~~satisfying legal requirements; and

    e)   ensuring the health and safety of employees in the workplace.

Inquiry: Assessment of Allegation

4.44.6 The Protected Disclosure Advisor will consult with the Dean ~~and they may consult with~~ or the Vice-President (Research), and others with expertise in the area of Research, as needed, to determine if:

a) an allegation is a Responsible Allegation; and
b) immediate action is ~~warranted~~required to mitigate a human subject, animal subject or other safety risk, or to protect the administration of Research funds ~~or~~. If immediate action is required, the Vice-President (Research) will take steps to mitigate ~~a health or safety~~the identified risk.(s).

If the complaint concerns Research involving Indigenous Peoples, the Protected Disclosure Advisor will consult with the Vice-Provost (Indigenous Engagement), or delegate to make this determination.

4.54.7 The Protected Disclosure Advisor will ~~make such~~complete the initial determination ~~within ten (10) Business Days~~ of ~~receiving the~~ whether an allegation is a Responsible Allegation as promptly as possible and no later than two (2) months from the date of receipt of the allegation, unless exceptional circumstances support an extension.

4.64.8 If the allegation is determined not to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant in writing. The matter will be closed and the records will be retained in accordance with University record retention rules.

4.7 ~~If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant and Respondent and others as appropriate.~~

4.84.9 The Protected Disclosure Advisor will ~~immediately~~ advise the SRCR in writing of any Responsible Allegation related to activities funded by an Agency that may involve significant financial, health, safety or other risks, subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act ~~(as revised from time to time).~~.

4.10 In addition to the notification in Article 4.9~~.~~, the Protected Disclosure Advisor, with assistance from the Vice-President (Research) Office and Vice-Provost (Indigenous Engagement), where relevant, will determine if any other applicable Research funders ~~or~~, government agencies, or communities need to be notified ~~if~~of the Responsible ~~Allegation~~Allegations.

4.94.11 A Complainant who is ~~related~~found to ~~funded activities that~~have made a frivolous or vexatious complaint may ~~pose significant financial, health, safety~~be subject to disciplinary action up to and including termination of employment or other ~~risks~~relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement.

Investigation of a Responsible Allegation

4.104.12 If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor, in consultation with the Dean, or Vice-President (Research Office) will promptly draw up terms of reference for an investigation. The

terms of reference will set a date by whichtimeline for the investigation is towill be concluded. The date will comply with the reporting timeframes set outincluded in section 4.4 ofthe Terms of Reference and shall be no later than five (5) months following the Tri-Agency Framework: determination that the allegation is a Responsible Conduct of Research (as revised from time to time).Allegation, unless exceptional circumstances warrant an extension. For matters involving activities funded by an Agency, any such extension must be approved, in advance, by the SRCR.

Investigation of a Responsible Allegation

4.13 The Protected Disclosure Advisor will appoint an investigation committee to carry outobjectives of the investigation will be:

a)   to collect and review information relating to the allegation;
a)b) make determinations of a Responsible Allegation.facts as to whether the allegation is substantiated and the seriousness of the breach;
c)   maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses, including any Indigenous Peoples or communities engaged in the Research; and
d)   if applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.

4.114.14   The investigation committeeInvestigation Committee will include three members, one of whom will serve as chair. The members will have:

a)   appropriate expertise;
b)   no real or apparent conflict of interest; and
c)   no perceived bias.
The committeeInvestigation Committee will include at least one external member who has no current affiliationAffiliation with the University when the allegation is related to activities funded by an Agency.

4.124.15   When the Respondent is an Academic Staff Member, the members of the investigation committeeInvestigation Committee will be Academic Staff Members, subject to the requirement to have one external member if the allegation is related to activities funded by an Agency.

4.134.16   When the Respondent is a member of the Faculty Association of the University of Calgary or the , the Graduate Students' Association as a Graduate Assistant, the Alberta Union of Provincial Employees (Local 052), or the Postdoctoral Association of the University of Calgary, and the Research integrity concern relates to their employment, the Respondent may have an Association or Union representative added to the committeeInvestigation Committee as a participating but non-voting member.

4.17 The Within a reasonable time of determining that an allegation is a Responsible Allegation, the Protected Disclosure Advisor will promptly notifyprovide the Respondent of the with written notice of the investigation. The notice shall include a copy of the Terms of Reference. The notice shall also include the names of the investigation committeeInvestigation Committee members. The Respondent may, within five (5) Business Days of receipt of the notice, submit a written statement to the Protected Disclosure Advisor objecting to any of the investigation

committeeInvestigation Committee members and setting out the reasons for the objection(s).

a) If the Protected Disclosure Advisor receives such a written statement within the five (5) Business Day period, the Protected Disclosure Advisor will consider the objections and may or may not revoke the appointment of one or more investigation committee members. If the Protected Disclosure Advisor revokes the appointment of one or more investigation committee members, the Protected Disclosure Advisor will, subject to paragraphs 4.13 and 4.14, appoint one or more new investigation committee members. The decisions of the Protected Disclosure Advisor pursuant to this paragraph are final and the members of the investigation committee appointed pursuant to this paragraph together with any member appointed pursuant to paragraphs 4.13 and 4.14 whose appointment is not revoked and any member appointed pursuant to paragraph 4.15 will continue as the investigation committee.Investigation Committee members.

b) If the Protected Disclosure Advisor revokes the appointment of one or more Investigation Committee members, the Protected Disclosure Advisor will appoint one or more new Investigation Committee members.

The investigation committeedecisions of the Protected Disclosure Advisor pursuant to this paragraph are final.

Conduct of the Investigation

4.18 All participants in the investigation process (i.e., complainants, witnesses, and respondents) may elect to have a union representative, University association representative, or other advisor present in investigation meetings. Respondents who were acting in their official employment capacity and in a position represented by a union or association of the University, will be mandated to determine whether advised of their right to representation in the investigation process. When a representative or advisor attends, they will be entitled to speak at the meeting.

4.144.19 Everyone involved in the investigation of an allegation of a breach of the University's Research Integrity Policy occurred and will be instructedkeep all information relating to complete the investigation withinconfidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the reporting timeframes set out in section 4.4 of the Tri-Agency Framework: Responsible Conduct of Researchinformation.

Conduct of the Investigation

4.15 The investigation committeeInvestigation Committee will maintain procedural fairness in conducting the investigation in order to protect the rights of the Respondent and Complainant.

4.164.20 The investigation committee will show consideration for the following precepts in ensuring procedural fairnessInvestigation Committee will:

a) confirm the Respondent is entitled to knowhas been made aware of the allegation and the evidence being considered by the investigation committee. The Investigation Committee;

a)b) afford the Respondent will have an opportunity to respond to the allegations and the evidence in person and/or in writing.;

b)c) if the investigation committee is contemplating making a report that is adverse to the interests of any person, that person will be given theprovide the Respondent with notice and an opportunity to put forward further material that may influence the outcome of the report. if it is contemplating making a report that is adverse to the interests of the Respondent; and

4.17 The investigation committee will document discussions and interviews and will keep all information it creates or reviews in the course of its investigation.

4.18 The Respondent, the Complainant, and witnesses may have an advisor present during any meeting with the investigation committee and the advisor will be entitled to speak at the meeting.

d) work to minimize delay.

4.21 The Investigation Committee will record or transcribe all interviews it conducts with the Complainant, Respondent, and any relevant persons, and will submit any such transcript to the interviewee for review. For clarity, deliberations of the Investigation Committee will not be recorded in any form.

4.22 If during the investigation, the Investigation Committee identifies information that suggests there are potential violations related to Research Misconduct that are not part of the original Responsible Allegation, or which suggests additional Respondents, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor to amend the investigation Terms of Reference. If the expanded investigation changes the scope of the investigation, appropriate parties will be provided with notice.

If during the course of the investigation, the Investigation Committee identifies information that suggests a violation of a University policy other than the Research Integrity Policy, the Investigation Committee shall refer any such matter back to Protected Disclosure Advisor for further action. The possible violation identified will be addressed or referred by the Protected Disclosure Advisor in accordance with the relevant University policy or procedure.

4.23 If during the course of the investigation, the Respondent ceases to hold a position or appointment at the University or leaves the jurisdiction, the Protected Disclosure Advisor will decide whether the investigation will continue. If the investigation continues and the Respondent refuses to participate in the process after ceasing to hold a position or appointment at the University, the Investigation Committee shall use its best efforts to reach a conclusion, and shall deliver its report with a statement as to the effect that this lack of cooperation had on the Investigation Committee's review of the evidence.

Final Report of the Investigation Committee

4.194.24 When the investigation is complete, the investigation committeeInvestigation Committee will submit a written report to the Protected Disclosure Advisor. within thirty (30) Business Days. The report will include:

a) the allegation;

a) the date the allegation was first received by the University, and if different, the date that the allegation was first brought to the attention of the Protected Disclosure Advisor;

b) a description of the allegation, including which sections of the Research Integrity Policy have been allegedly breached;

c) the names, positions and affiliations of the Complainant(s) and the Respondent(s);

d) the sources of funding for the Research, and an indication of whether the allegation involves Agency funds;

b)e) an account of all relevant information received and, if the investigation committeeInvestigation Committee has rejected evidence as being unreliable, the reasons for this conclusion;

c)f) the Respondent's response to the allegation, investigation, and any measures the Respondent has taken to rectify any breach;

d)g) the conclusions reached and the basis for them; and

e)h) if the investigation committeeInvestigation Committee finds the allegation to be true, the degreean assessment of seriousnessthe severity, intentionality, and impact of the breach.; and

i) if applicable, any non-disciplinary recommendations.

4.25 The report will be accompanied by all records created or received by the Investigation Committee during the investigation committee in the course, including copies of any transcribed interviews.

4.204.26 If the investigationProtected Disclosure Advisor is satisfied that the report brings the Investigation to an end, the Protected Disclosure Advisor will provide the full investigation report to the Dean, with a copy to the Vice-President (Research) Office. If the Research involves Indigenous Peoples, the Protected Disclosure Advisor will consult with the affected community or organisation before bringing an investigation to an end.

4.21 The Protected Disclosure Advisor will submit the report to the Dean.

4.27 Upon receipt of the report of the investigation committeeInvestigation Committee, the Dean, or appropriate designate in the case of external parties, will promptly provide the Respondent with a copy of the report and advise, in writing, with a full copy of the Investigation report. Subject to 4.6, the names of any individuals involved in an investigation will not be disclosed by the University to any person except where disclosure is necessary for the purposes of determining interim measures or of resolving the formal report and taking any related disciplinary measures.

Appeal Process

4.224.28 If the Respondent and, where applicable, the Provost and Vice-President (is a Student, or a member of a bargaining unit, the Respondent may have recourse to appeal disciplinary action through the Student Misconduct and Academic) that the allegation is: Appeals Policy, or the grievance procedures of the applicable collective agreement. Where such recourse exists, no further appeal is available under this Process. If the Respondent does not have access to such an appeal or grievance process and wishes to appeal the decision or sanction, they must submit a notice of appeal, in writing, to the Vice-President (Research) within ten (10) Business Days after

receipt of the Investigation Report. The Vice-President (Research) will assign a delegate to review an appeal in any circumstance in which the Vice-President (Research) has been actively involved in supporting the Protected Disclosure Advisor or has implemented interim measures to mitigate a risk. The delegate may be the Chair of the Research Ethics Appeal Board or another qualified individual with no real, potential or perceived conflict of interest, and appropriate expertise to review the appeal.

4.29 Grounds for such an appeal shall be limited to:
   a) the decision was made in a procedurally unfair way; or
   b) there was a reasonable apprehension of bias on the part of any member of the Investigation Committee.

   a) The dismissed; or substantiatednotice of appeal shall succinctly set out the complete and substantive reasons for the appeal and state on which grounds the appeal is based.

4.30 Within thirty (30) working days of receiving the notice of appeal, the Vice-President (Research), or delegate, will be dealtreview the Investigation report and the notice of appeal to determine if there are valid grounds for appeal. The Vice-President (Research) may, but is not required to, meet with any of the Respondent, Complainant, Witnesses, or members of the Investigation Committee.

4.234.31 If the Vice-President (Research), or delegate, determines that there are no valid grounds for an appeal under the existing disciplinary powers of the Dean; orResearch Integrity Policy and Procedure, the Vice-President Research will notify the Respondent in writing. The matter will be closed and the decision of the Vice-President Research is final.

4.32 is substantiated and due to the seriousness of the breach must be referred to the Executive Leadership Team for review of any non-disciplinary issues.If the Vice-President (Research), or delegate, determines that there are valid grounds for an appeal, then the Vice-President (Research) shall inform the Respondent, and others as appropriate, including the funding Agency where required, that a new investigation shall be initiated.

Outcome of the Investigation

4.24 The Protected Disclosure Advisor will inform affected parties of the decision reached by the investigation committee and of any recourse to be taken by the University.

4.254.33 If the allegation is not substantiated, the Dean will take all reasonable steps necessary to protect or restore the Respondent's reputation if it has suffered by virtue of the allegation. This shall be done in consultation with the Respondent, as may be appropriate. The steps may include, without limitation, informing any individual or entity that was aware of the matter that the Respondent has been cleared of all allegations of misconduct.

4.264.34 A Respondent who is found to have committed a breach of the Research Integrity Policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Any actions required to

correct the breach are the obligation and responsibility of the Respondent/Researcher. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.

4.35   TheIf the report from the Investigation Committee contains non-disciplinary recommendations for post-investigation follow-up for the University, the Respondent, or any other individual, the Protected Disclosure Advisor will refer these recommendations to the appropriate unit, department, and/or individual at the University of Calgary.

4.36   Following consultation with the Vice-Provost (Indigenous Engagement), and any affected community or organization, an approach aligned with an indigenous community's worldview may be followed to address harms arising from an allegation.

Reporting Requirements

4.274.37   As required by Tri-Council Framework, the Protected Disclosure Advisor will submit a report to the SRCR with respect to an investigation related to activities funded by an Agency within seven (7) months of receipt of the allegation. Subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act, theThe report will include the following information:

a)   the specific allegation, a summary of the finding(s), and the reasons for the finding(s);
b)   the process and timelines for the investigation;
c)   the Respondent's response to the allegation, investigation and findings, and any measures the Respondent has taken to rectify any breach; and
d)   the investigation committee'sInvestigation Committee's decisions and recommendations and actions taken by the University.

4.284.38   The report to the SRCR will not include:

a)   information that is not related specifically to Agency funding and policies; or
b)   the Respondent's personal information, or that of any other person, that is not material to the University's findings and its report to the SRCR.

4.39   The In addition to the notification in 4.37, the Protected Disclosure Advisor will likewise inform determine, with assistance from the Vice-President (Research) if any other granting agencyapplicable Research funders or sponsor about angovernment agencies need to be notified of the outcome of the investigation related to activities such agency or sponsor funded if required under the terms of the funding agreement or any other agreement with such agency or sponsor.

4.40   The University will report annually to the Secretariat on the Responsible Conduct of Research on the total number of Complaints received under the Research Integrity Policy involving Research Funds, and the number and nature of confirmed Responsible Allegations, subject to applicable laws, including privacy laws.

4.294.41   Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the United Nations Declaration on the Rights of Indigenous Peoples, the University will post annually on its website information on

confirmed findings of breaches of its Research Integrity policy such as the number and general nature of the breaches

5   Parent Policy   Research Integrity Policy

6   Related Information

https://www.ucalgary.ca/pdri

Panel on Research Ethics, Government of CanadaTri-Agency Framework: Responsible Conduct of Research

Government of Canada – Panel on Research Ethics

67   References

Add titles/hyperlinks for any related documents (e.g. manuals)

78   History

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UNIVERSITY OF CALGARY

Procedure for Investigating a Breach of Research Integrity

Classification Research	**Table of Contents**
Approval Authority Vice-President (Research)	
Implementation Authority Vice-President (Research)	
Effective Date March 28, 2013	
Last Revision N/A	

1   Purpose

This procedure outlines the process by which:

a) Individuals may make an allegation of a breach of the Research Integrity Policy to the University;

b) the University will respond to an allegation of a breach of the Research Integrity Policy; and

c) individuals will be protected from Reprisals for making an allegation.

This procedure is not intended to address the process for reporting an allegation directly to the relevant Agency.

2   Scope

This procedure applies to Academic Staff Members, Appointees, Employees, Students, Postdoctoral Scholars, and any other person who conducts Research under the auspices of, or in Affiliation with, the University.

This procedure applies to all allegations of breaches of the Research Integrity Policy reported to the University, regardless of the source of the research funding, including those allegations made under the Procedure for Protected Disclosure.

Nothing in this procedure precludes an individual from reporting an allegation to the relevant Agency.

3   Definitions

In this procedure:

d) "Academic Staff Member" means an individual who is engaged to work for the University and is identified as an academic staff member under the collective agreement between The University of Calgary Faculty Association and the Governors of the University of Calgary

e) "Affiliation" means a close connection or formal relationship as defined and interpreted by Tri-Council.

f) "Affiliate" means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Tri-Council.

g) "Agency" refers to any one of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC).

h) "Appointee" means an individual who is engaged to work for the University, or whose work is affiliated with the University, through a letter of appointment, including adjunct faculty, clinical appointments, and visiting researchers and scholars.

i) "Business Days" means days that the University is open for business, excluding weekends and holiday closures.

j) "Complainant" means the person making an allegation of a breach of the Research Integrity Policy.

k) "Dean" means the dean(s) of the faculty(ies) in which the Respondent holds an appointment or is registered or the Provost and Vice-President (Academic) if the Respondent is a Dean or the President if the Respondent is the Provost and Vice-President (Academic) or the Vice-President (Research).

l) "Employee" means an individual who is engaged to work for the University under an employment contract or collective agreement.

m) "Good Faith" as applied to an allegation means that it is submitted with the intent to achieve the purposes of the University's Research Integrity Policy and is not submitted for another purpose that is frivolous or vexatious (e.g., to harass a colleague) or in a manner in which it makes it challenging for a neutral and impartial inquiry or investigation to be carried out.

n) "Indigenous Peoples" means the definition of Indigenous Peoples provided by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*: Indigenous Peoples in the Canadian context means persons of First Nations, Inuit or Mètis descent and their communities.

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p) "Postdoctoral Scholar" means an individual who has completed a doctoral degree and is carrying out research at the University under the direction or mentorship of a supervising Academic Staff Member.

q) "Reprisal" means Retaliatory Measures that are taken against an individual because they have sought advice about making an allegation of a breach of research integrity, made an allegation of a breach of research integrity in Good Faith, co-operated in an investigation of a breach of research integrity, or declined to participate in a breach of research integrity.

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t) "Researcher" means an individual who undertakes Research under the auspices of or in Affiliation with the University regardless of the source of funding.

u) "Respondent" means a Researcher who is alleged to have breached the Research Integrity Policy.

v) "Responsible Allegation" means an allegation which:
   i. appears to be made in Good Faith;
   ii. is based on alleged facts which have not been the subject of a previous allegation;
   iii. if the alleged facts are true, falls within one or more of the breaches set out in Sections 4.21 to 4.25 of the Research Integrity Policy; and
   iv. if proven, would have constituted a breach of the Research Integrity Policy at the time the alleged breach occurred.

w) "Retaliatory Measures" means:
   i. a dismissal, layoff, suspension, demotion or transfer, discontinuation or elimination of a job, change of job location, reduction in wages, change in hours of work or reprimand;
   ii. any act that adversely affects the employment, working conditions, or education of the individual; and
   iii. a threat to do any of the above

x) "SRCR" means the Secretariat on Responsible Conduct of Research which provides substantive and administrative support for the Tri-Agency. Framework: Responsible Conduct of Research (as revised from time to time).

y) "Student" means an individual registered in a University course or program of study.

z) "Tri-Council" means the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC).

aa) "University" means the University of Calgary.

4   Procedure   **Making an Allegation**

4.1   An individual, either internal or external to the University, may submit any of the following to the Protected Disclosure Advisor:

a) an inquiry regarding a breach of the Research Integrity Policy;

b) an allegation of a breach of the Research Integrity Policy; or

c) information related to an allegation of a breach of the Research Integrity Policy.

4.2 An allegation of a breach of the Research Integrity Policy must be in writing. The allegation should contain enough information to permit an evaluation of whether the alleged misconduct constitutes a breach of the Research Integrity Policy and to permit further information gathering about the alleged misconduct. The allegation should include:

a) Identification of the Respondent(s);

b) Location and time that the alleged misconduct occurred;

c) Sufficient detail about the nature of the alleged misconduct; and

d) Name, signature and contact information of the Complainant(s).

4.3 An anonymous allegation will be assessed and investigated if determined to be a Responsible Allegation, if the allegation is accompanied by sufficient information to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the Complainant.

4.4 Where the allegation is related to conduct that occurred at another institution, the Protected Disclosure Advisor will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The Protected Disclosure Advisor must communicate to the Complainant which of the University or other institution will conduct the inquiry and investigation, if warranted.

4.5 Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the principles of procedural fairness and natural justice, the Protected Disclosure Advisor will ensure the confidentiality of the information collected and will protect the identity of the persons involved in the disclosure process, including the Complainant, any witnesses and the Respondent, to the fullest extent possible. When information is shared it will normally be related to requirements pertaining to the following circumstances:

a) establishing interim measures to address the allegation, if needed;

b) initiating, investigating and resolving the allegation;

c) conforming to the principles of due process and natural justice,

d) satisfying legal requirements; and

e) ensuring the health and safety of employees in the workplace.

Inquiry: Assessment of Allegation

4.6 The Protected Disclosure Advisor will consult with the Dean or the Vice-President (Research), and others with expertise in the area of Research, as needed, to determine if:

a) an allegation is a Responsible Allegation; and

b) immediate action is required to mitigate a human subject, animal subject or other safety risk, or to protect the administration of Research funds. If immediate action is required, the Vice-President (Research) will take steps to mitigate the identified risk(s).

If the complaint concerns Research involving Indigenous Peoples, the Protected Disclosure Advisor will consult with the Vice-Provost (Indigenous Engagement), or delegate to make this determination.

4.7 The Protected Disclosure Advisor will complete the initial determination of whether an allegation is a Responsible Allegation as promptly as possible and no later than two (2) months from the date of receipt of the allegation, unless exceptional circumstances support an extension.

4.8 If the allegation is determined not to be a Responsible Allegation, the Protected Disclosure Advisor will notify the Complainant in writing. The matter will be closed and the records will be retained in accordance with University record retention rules.

4.9 The Protected Disclosure Advisor will advise the SRCR in writing of any Responsible Allegation related to activities funded by an Agency that may involve significant financial, health, safety or other risks, subject to any applicable laws, including Alberta's Freedom of Information and Protection of Privacy Act.

4.10 In addition to the notification in Article 4.9. the Protected Disclosure Advisor, with assistance from the Vice-President (Research) Office and Vice-Provost (Indigenous Engagement), where relevant, will determine if any other applicable Research funders, government agencies, or communities need to be notified of the Responsible Allegations.

4.11 A Complainant who is found to have made a frivolous or vexatious complaint may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement.

Investigation of a Responsible Allegation

4.12 If the allegation is determined to be a Responsible Allegation, the Protected Disclosure Advisor, in consultation with the Dean, or Vice-President (Research Office) will promptly draw up terms of reference for an investigation. The timeline for the investigation will be included in the Terms of Reference and shall be no later than five (5) months following the determination that the allegation is a Responsible Allegation, unless exceptional circumstances warrant an extension. For matters involving activities funded by an Agency, any such extension must be approved, in advance, by the SRCR.

4.13 The objectives of the investigation will be:
   a) to collect and review information relating to the allegation;
   b) make determinations of facts as to whether the allegation is substantiated and the seriousness of the breach;
   c) maintain procedural fairness in the treatment of the Complainant, Respondent and witnesses, including any Indigenous Peoples or communities engaged in the Research; and
   d) if applicable, to make recommendations arising from the conclusions drawn concerning non-disciplinary remedial or other appropriate action.

4.14 The Investigation Committee will include three members, one of whom will serve as chair. The members will have:

a) appropriate expertise;

b) no real or apparent conflict of interest; and

c) no perceived bias.

The Investigation Committee will include at least one external member who has no current Affiliation with the University.

4.15 When the Respondent is an Academic Staff Member, the members of the Investigation Committee will be Academic Staff Members, subject to the requirement to have one external member.

4.16 When the Respondent is a member of the Faculty Association of the University of Calgary, the Graduate Students' Association as a Graduate Assistant, the Alberta Union of Provincial Employees (Local 052), or the Postdoctoral Association of the University of Calgary, and the Research integrity concern relates to their employment, the Respondent may have an Association or Union representative added to the Investigation Committee as a participating but non-voting member.

4.17 Within a reasonable time of determining that an allegation is a Responsible Allegation, the Protected Disclosure Advisor will provide the Respondent with written notice of the investigation. The notice shall include a copy of the Terms of Reference. The notice shall also include the names of the Investigation Committee members. The Respondent may, within five (5) Business Days of receipt of the notice, submit a written statement to the Protected Disclosure Advisor objecting to any of the Investigation Committee members and setting out the reasons for the objection(s).

a) If the Protected Disclosure Advisor receives such written statement within the five (5) Business Day period, the Protected Disclosure Advisor will consider the objections and may or may not revoke the appointment of one or more Investigation Committee members.

b) If the Protected Disclosure Advisor revokes the appointment of one or more Investigation Committee members, the Protected Disclosure Advisor will appoint one or more new Investigation Committee members.

The decisions of the Protected Disclosure Advisor pursuant to this paragraph are final.

Conduct of the Investigation

4.18 All participants in the investigation process (i.e., complainants, witnesses, and respondents) may elect to have a union representative, University association representative, or other advisor present in investigation meetings. Respondents who were acting in their official employment capacity and in a position represented by a union or association of the University, will be advised of their right to representation in the investigation process. When a representative or advisor attends, they will be entitled to speak at the meeting.

4.19 Everyone involved in the investigation of an allegation of a breach of the University's Research Integrity Policy will keep all information relating to the investigation confidential except for information required to be shared under this policy or information shared with those who have a legitimate need for the information.

4.20 The Investigation Committee will maintain procedural fairness in conducting the investigation to protect the rights of the Respondent and Complainant. The Investigation Committee will:

a) confirm the Respondent has been made aware of the allegation and the evidence being considered by the Investigation Committee;

b) afford the Respondent an opportunity to respond to the allegations and the evidence in person and in writing;

c) provide the Respondent with notice and an opportunity to put forward further material that may influence the outcome of the report if it is contemplating making a report that is adverse to the interests of the Respondent; and

d) work to minimize delay.

4.21 The Investigation Committee will record or transcribe all interviews it conducts with the Complainant, Respondent, and any relevant persons, and will submit any such transcript to the interviewee for review. For clarity, deliberations of the Investigation Committee will not be recorded in any form.

4.22 If during the investigation, the Investigation Committee identifies information that suggests there are potential violations related to Research Misconduct that are not part of the original Responsible Allegation, or which suggests additional Respondents, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor to amend the investigation Terms of Reference. If the expanded investigation changes the scope of the investigation, appropriate parties will be provided with notice.

If during the course of the investigation, the Investigation Committee identifies information that suggests a violation of a University policy other than the Research Integrity Policy, the Investigation Committee shall refer any such matter back to Protected Disclosure Advisor for further action. The possible violation identified will be addressed or referred by the Protected Disclosure Advisor in accordance with the relevant University policy or procedure.

4.23 If during the course of the investigation, the Respondent ceases to hold a position or appointment at the University or leaves the jurisdiction, the Protected Disclosure Advisor will decide whether the investigation will continue. If the investigation continues and the Respondent refuses to participate in the process after ceasing to hold a position or appointment at the University, the Investigation Committee shall use its best efforts to reach a conclusion, and shall deliver its report with a statement as to the effect that this lack of cooperation had on the Investigation Committee's review of the evidence.

Final Report of the Investigation Committee

4.24 When the investigation is complete, the Investigation Committee will submit a written report to the Protected Disclosure Advisor within thirty (30) Business Days. The report will include:

a) the date the allegation was first received by the University, and if different, the date that the allegation was first brought to the attention of the Protected Disclosure Advisor;

b) a description of the allegation, including which sections of the Research Integrity Policy have been allegedly breached;

c) the names, positions and affiliations of the Complainant(s) and the Respondent(s);

d) the sources of funding for the Research, and an indication of whether the allegation involves Agency funds;

e) an account of all relevant information received and, if the Investigation Committee has rejected evidence as being unreliable, the reasons for this conclusion;

f) the Respondent's response to the allegation, investigation, and any measures the Respondent has taken to rectify any breach;

g) the conclusions reached and the basis for them;

h) if the Investigation Committee finds the allegation to be true, an assessment of the severity, intentionality, and impact of the breach; and

i) if applicable, any non-disciplinary recommendations.

4.25 The report will be accompanied by all records created or received by the Investigation Committee during the investigation, including copies of any transcribed interviews.

4.26 If the Protected Disclosure Advisor is satisfied that the report brings the Investigation to an end, the Protected Disclosure Advisor will provide the full investigation report to the Dean, with a copy to the Vice-President (Research) Office. If the Research involves Indigenous Peoples, the Protected Disclosure Advisor will consult with the affected community or organisation before bringing an investigation to an end.

4.27 Upon receipt of the report of the Investigation Committee, the Dean, or appropriate designate in the case of external parties, will promptly provide the Respondent, in writing, with a full copy of the Investigation report. Subject to 4.6, the names of any individuals involved in an investigation will not be disclosed by the University to any person except where disclosure is necessary for the purposes of determining interim measures or of resolving the formal report and taking any related disciplinary measures.

Appeal Process

4.28 If the Respondent is a Student, or a member of a bargaining unit, the Respondent may have recourse to appeal disciplinary action through the Student Misconduct and Academic Appeals Policy, or the grievance procedures of the applicable collective agreement. Where such recourse exists, no further appeal is available under this Process. If the Respondent does not have access to such an appeal or grievance process and wishes to appeal the decision or sanction, they must submit a notice of appeal, in writing, to the Vice-President (Research) within ten (10) Business Days after receipt of the Investigation Report. The Vice-President (Research) will assign a delegate to review an appeal in any circumstance in which the Vice-President (Research) has been actively involved in supporting the Protected Disclosure Advisor or has implemented interim measures to mitigate a risk. The delegate may be the Chair of the Research Ethics Appeal Board or another qualified individual with no real, potential or perceived conflict of interest, and appropriate expertise to review the appeal.

4.29 Grounds for such an appeal shall be limited to:

a) the decision was made in a procedurally unfair way; or

b) there was a reasonable apprehension of bias on the part of any member of the Investigation Committee.

The notice of appeal shall succinctly set out the complete and substantive reasons for the appeal and state on which grounds the appeal is based.

4.30 Within thirty (30) working days of receiving the notice of appeal, the Vice-President (Research), or delegate, will review the Investigation report and the notice of appeal to determine if there are valid grounds for appeal. The Vice-President (Research) may, but is not required to, meet with any of the Respondent, Complainant, Witnesses, or members of the Investigation Committee.

4.31 If the Vice-President (Research), or delegate, determines that there are no valid grounds for an appeal under the Research Integrity Policy and Procedure, the Vice-President Research will notify the Respondent in writing. The matter will be closed and the decision of the Vice-President Research is final.

4.32 If the Vice-President (Research), or delegate, determines that there are valid grounds for an appeal, then the Vice-President (Research) shall inform the Respondent, and others as appropriate, including the funding Agency where required, that a new investigation shall be initiated.

Outcome of the Investigation

4.33 If the allegation is not substantiated, the Dean will take all reasonable steps necessary to protect or restore the Respondent's reputation if it has suffered by virtue of the allegation. This shall be done in consultation with the Respondent, as may be appropriate. The steps may include, without limitation, informing any individual or entity that was aware of the matter that the Respondent has been cleared of all allegations of misconduct.

4.34 A Respondent who is found to have committed a breach of the Research Integrity Policy may be subject to disciplinary action up to and including termination of employment or other relationship with the University. Any actions required to correct the breach are the obligation and responsibility of the Respondent/Researcher. Disciplinary action will be taken in accordance with the provisions of any applicable collective agreement or any applicable policy relating to Student conduct.

4.35 If the report from the Investigation Committee contains non-disciplinary recommendations for post-investigation follow-up for the University, the Respondent, or any other individual, the Protected Disclosure Advisor will refer these recommendations to the appropriate unit, department, and/or individual at the University of Calgary.

4.36 Following consultation with the Vice-Provost (Indigenous Engagement), and any affected community or organization, an approach aligned with an indigenous community's worldview may be followed to address harms arising from an allegation.

Reporting Requirements

4.37 As required by Tri-Council Framework, the Protected Disclosure Advisor will submit a report to the SRCR with respect to an investigation related to activities funded by an Agency within seven (7) months of receipt of the allegation. The report will include the following information:

a) the specific allegation, a summary of the finding(s), and the reasons for the finding(s);

b) the process and timelines for the investigation;

c) the Respondent's response to the allegation, investigation and findings, and any measures the Respondent has taken to rectify any breach; and

d) the Investigation Committee's decisions and recommendations and actions taken by the University.

4.38 The report to the SRCR will not include:

a) information that is not related specifically to Agency funding and policies; or

b) the Respondent's personal information, or that of any other person, that is not material to the University's findings and its report to the SRCR.

4.39 In addition to the notification in 4.37, the Protected Disclosure Advisor will determine, with assistance from the Vice-President (Research) if any other applicable Research funders or government agencies need to be notified of the outcome of the investigation under the terms of the funding agreement or any other agreement with such agency or sponsor.

4.40 The University will report annually to the Secretariat on the Responsible Conduct of Research on the total number of Complaints received under the Research Integrity Policy involving Research Funds, and the number and nature of confirmed Responsible Allegations, subject to applicable laws, including privacy laws.

4.41 Subject to legislative obligations, such as the Freedom of Information and Protection of Privacy Act, and the United Nations Declaration on the Rights of Indigenous Peoples, the University will post annually on its website information on confirmed findings of breaches of its Research Integrity policy such as the number and general nature of the breaches

5 Parent Policy   Research Integrity Policy

6 Related Information   Tri-Agency Framework: Responsible Conduct of Research
Government of Canada – Panel on Research Ethics

Add titles/hyperlinks for any related documents (e.g. manuals)

7 References

8 History	Approved:	March 21, 2013
	Effective:	March 28, 2013
	Revised:	August 26, 2015 (Editorial Revisions)
	Editorial Change:	October 31, 2018 (definition of "Student")

SUBJECT: **Proposed Strategic Plan – Ahead of Tomorrow**

PROPONENTS

Ed McCauley, President & Vice-Chancellor
Penny Werthner, Interim Provost & Vice-President (Academic)

REQUESTED ACTION

The General Faculties Council is being asked to discuss the proposed strategic plan: 'Ahead of Tomorrow'.

KEY CONSIDERATIONS/POINTS

- The *Eyes High* Strategic Plan 2017-2022 concluded at the end of 2022.
- A strategic planning process has been underway since September 2022 to develop the next strategic plan for the University of Calgary. This process can be broken down in to the following four phases:

Phase 1 – Planning and pre-consultation:
- Planning and pre-consultation occurred throughout September and October. More than 300 people from across various constituent groups weighed in on what the scope of the next strategic plan should be and how the process to develop the next strategic plan should be structured.
- During this period, an Oversight Committee was formed to provide oversight, input and feedback into the strategic planning process throughout the remainder of the academic year.
  - The membership of the Oversight Committee is listed here.
- In addition, a Working Group was formed to develop draft material.
  - The membership of the Working Group is listed here.

Phase 2 – Information gathering and plan development:
- Three Community Report events (Nov 14, Nov 15, Dec 5) marked an opportunity to both celebrate the success that was achieved under the banner of *Eyes High*, and simultaneously launch the development phase for the next strategic plan.
- Information was gathered using the IECB framework, which aims to strikes a balance between: a) where we have been with where we want to go; b) expertise and community opinion; and c) the need to set clear, inspiring direction but also ensure the plan encompasses the breadth of activities that occur at a research university.
- **Internal** information was brought in through a review of existing strategies and plans. A summary of the documents reviewed as part of this work can be found here.
- **External** information and data was brought in through a compilation of briefings that summarize the major trends expected to shape the post-secondary sector over the decade to come. These briefings can be found here.
- **Consultation** occurred with 21,277 unique individuals in our internal and external community. A 'What We Heard' report can be found here.
- **Best practices** were incorporated throughout the process through ongoing consultation with scholars and experts in areas such as strategic planning, higher education policy, and community engagement, to name a few.
- The Working Group used all of these inputs to produce a first draft of the Strategic Plan that was released to our community on March 15. That version can be found here.

Phase 3 – Plan refinement:
- Since the release of the draft plan, an additional 2,281 unique individuals have provided thoughts and feedback.
- Overall, the feedback was quite positive. A summary of this feedback has been added to the 'What We Heard' document which can be found here.
- The Working Group used the feedback to refine the plan. The most substantial changes included:
  o adding 'Ahead of Tomorrow' vision statement and framing throughout;
  o introducing a preamble that provides context and emphasizes the importance of our foundational commitments to our institutional strategies;
  o restructuring of goals, mission, values into mission and values;
  o collapsing from five to four strategies;
  o adding bold and measurable objectives under each strategy;
  o reducing the number of initiatives, and elevating them to a higher level (i.e. articulating the rationale behind them, but staying away from tactics);
  o addition of two new initiatives (Initiative 1.5 – Expand understanding of the university's foundational commitments; and Initiative 4.3 – Invest in process improvement and professional development); and
  o a redrafting led by Working Group member Aritha Van Hirk to reduce overall length, strengthen language and bring a consistent voice.
- The updated 'Final Draft' Strategic Plan is included as an attachment to this briefing note.

Phase 4 – Governance process:
- While there have been many conversations with representatives from the General Faculties Council and the Board of Governors over the last eight months, we are now entering the formal governance process. The table below outlines the timing for the various meetings throughout this phase of the process.

ROUTING AND PERSONS CONSULTED

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	GFC Executive Committee	2023-04-28			X	
X	General Faculties Council	2023-05-11			X	
	GFC Executive Committee	2023-05-17		X		
	Board of Governors	2023-05-26			X	
	BG Executive Committee	2023-06-05		X		
	General Faculties Council	2023-06-15	X			
	Board of Governors	2023-06-23	X			

NEXT STEPS

- If the General Faculties Council and the Board of Governors approve the Strategic Plan in June 2023, it will take effect on July 1, 2023 and run through to June 30, 2030.
- The Communications team will develop a graphically designed version of the Strategic Plan and associated wrap-around products.
- Implementation will occur through several channels, including but not limited to:
  o development of operational plans (e.g. Academic Plan, Research Plan, Community Plan);
  o implementation plans for specific initiatives;
  o alignment with budget and capital prioritization processes;
  o alignment with performance planning processes;
  o development of a performance measurement dashboard and reporting mechanism.

SUPPORTING MATERIALS

- Proposed Strategic Plan: Ahead of Tomorrow

UNIVERSITY OF CALGARY

Start something.

2023-2030

Ahead of Tomorrow

**PROPOSED UNIVERSITY OF CALGARY
STRATEGIC PLAN – FOR DISCUSSION**

The University of Calgary's remarkable trajectory reflects audacious growth and entrepreneurial spirit. Our students, faculty, staff, and community have built a bold university in less than 60 years.

What is next? How do we look beyond tomorrow?

We face universal challenges. But we are confident we can achieve global impact while remaining true to our Calgary community and values.

This Strategic Plan shapes our journey toward 2030, considered through long-term, foundational commitments to: Equity, Diversity, Inclusion, and Accessibility; Indigenous Engagement; Mental Health; Global Engagement; and Sustainability.

Based on our unique approach to teaching and learning, research excellence, community partnership, and campus operations, this Strategic Plan and our foundational commitments together lay a mosaic for the future.

AHEAD OF TOMORROW

We inhabit a turbulent time, but we do so purposefully, ready to think and act ahead of tomorrow.

We equip students, postdocs, faculty, and staff with the ingenuity to improve the world.

We enable ambition and excellence, and we see challenges as opportunities that spark our singular mission – to dare to imagine ahead of tomorrow.

OUR MISSION

The University of Calgary powers positive change.

We strive for inimitable excellence through innovative teaching and learning, cutting-edge exploration, and community linkage.

We seek to surpass today's limitations, our quest a prosperous, compassionate, sustainable, and equitable world.

We lead change by combining academic excellence with a spirit of innovation. Knowledge creation and mobilization pilot our research, impelled by action and agility.

Our students, postdocs, faculty, and staff, serve today while anticipating a tomorrow that we have the power to reframe.

OUR VALUES

The University of Calgary values authenticity, inclusivity, diversity, and critical thinking.

We celebrate curiosity-driven investigation, fostering collaboration so that all can achieve their potential.

We strive for community-focused excellence and accessibility, a sense of belonging, where all can thrive.

We aim to spark global change, to solve what seems unsolvable.

We commit to recognition and reconciliation, to walking a parallel path together with Indigenous partners.

OUR STRATEGIES

Our strategies will position the University of Calgary to leap ahead of tomorrow. They address both what we do and how we do it:

1. **Increase access to impactful and future-focused education.**
2. **Harness the power of research and innovation to tackle society's biggest challenges.**
3. **Locate community at the centre of all we do.**
4. **Make our processes clearer, simpler, better than any other university.**

These strategies will be realized through cross-cutting initiatives and through the decisions we make throughout the university.

Increase access to impactful and future-focused education.

By 2030, demand for post-secondary education is anticipated to rise dramatically.

Rapid change has whetted global appetite for transfiguring knowledge, for anticipatory design and content. Lifelong learning will fuel needed capability and resilience.

To support prospective students, we will provide a variety of formats and modalities, learning that equips students to question, navigate change, and distill information. Evolving curricula will cut across unforeseen obstacles through critical analysis, creative engagement, and ethical entrepreneurialism.

The University of Calgary will be equitable and inclusive to all with talent and ambition, providing students with the tools to grapple with the unanticipated and to meet challenges that do not yet exist.

OUR GOAL	**To educate transformative leaders.**
OBJECTIVES (2030)	**A)** Become #1 University, U15 in student engagement **B)** Increase total enrolment by 10,000 and graduate enrolment by 7,000 **C)** Ensure all students are provided an opportunity for meaningful entrepreneurial thinking within research and creative scholarship.
HOW WE APPROACH OUR WORK	**We embrace new technologies and new discoveries to support innovation in teaching and learning.**
CROSS-CUTTING INITIATIVES	**1) Increase average financial support for thesis-based graduate students to highest level in the U15 research universities.** Become a magnet for graduate students, attracting local, national, and international superstars, growing our economy and our reputation. (Objectives A, B) **2) Provide one semester of financial support for first-in-family students.** Students from families with no university history face unique uncertainties about investment in higher education. Support can open the door to expanded educational participation across communities. (Objectives A, B) **3) Create required programming focused on entrepreneurial thinking, research, and creative scholarship.** Tomorrow's challenges will demand disciplinary expertise coupled with critical thinking and adaptable execution. Core programming will expose students to transdisciplinary windows and crossover latitude. (Objectives A, C) **4) Develop innovative programming that anticipates tomorrow's demands.** As student population diversifies and evolves, so must current practice. Meaningful experiential learning, rich in community engagement, will prepare students for future challenges. (Objectives A, C) **5) Expand understanding of the university's foundational commitments.** Facilitate access for all seeking additional education in: Equity, Diversity, Inclusion, and Accessibility; Indigenous Engagement; Mental Health; Global Engagement; and/or Sustainability. (Objective A) (also directly supports Strategy 3)

Harness the power of research and innovation to tackle society's biggest challenges.

Knowledge generation and its benefits grow commensurate with global complexity.

Research universities exert impact by involving members of the community.

Student research opportunities provide hands-on experience, portable skills, and the chance to work with faculty on world-changing projects.

Transdisciplinary research opportunities for scholars lead to new connections and unforeseen discoveries, a chance to tackle wicked challenges, too big for one scholar or one discipline to solve on their own.

Research opportunities for community partners lead to new collaborations and solutions.

Embedding research in all we do enhances our ability to change the world.

OUR GOAL	**Maximize research impact.**
OBJECTIVES (2030)	**A)** Become #1 University in U15, research revenue per scholar.
	B) Grow external research revenue to $750m a year.
	C) Grow our position as Canada's #1 creator of start-ups to the top 50 start-up creators in the world.
HOW WE APPROACH OUR WORK	**We will embed research opportunities in all student learning.**
	We will seek to collaborate with community partners, colleagues from other disciplines, and students.
CROSS-CUTTING INITIATIVES	**1) Create research opportunities for undergraduate students.** Involve students as partners, provide opportunity for paid summer research between first and second year to expand their practical knowledge of research and innovation. (Objectives A, B, C)
	2) Expand transdisciplinary scholarship, partner with community on grand challenges. Improve connections between faculties and departments to enable cross-appointments, shared analysis, and collaboration. Bolster campus-wide surges of activity to address society's biggest quandaries. (Objectives A, B)
	3) Develop our research and innovation ecosystem. Invest in world-class facilities, equipment, and technology to grow our research and innovation ecosystem. Expand our capacity to support more student, faculty, alumni and community endeavours. (Objectives A, B, C)

Locate community at the centre of all we do.

Surpassing tomorrow demands a deep connection to place, the multiple communities of Treaty 7, the City of Calgary, the country of Canada, and the world beyond tomorrow.

Community partnership means strengthening our connections to these interwoven spheres, to their many shared concerns, challenges and opportunities. We must be poised to perform on the global stage.

OUR GOAL	**Enhance community relevance.**
OBJECTIVES (2030)	**A)** #1 in U15, community engagement. **B)** 25,000 students, faculty, and staff annually contribute to community challenges. **C)** Engage 100,000 alumni, donors and community members on an annual basis.
HOW WE APPROACH OUR WORK	**Community is included by design throughout the process.**
CROSS-CUTTING INITIATIVES	**1) Incentivize community engagement, expand credits, scholarships, and professional inducements for community-focused work.** Engagement with local and global communities enriches learning, strengthens connection, and promotes horizon collaboration. Community connection reciprocates interconnectivity, social acumen, and practical experience. (Objectives A, B, C) (also directly supports Strategy 1) **2) Enhance engagement capacity through position of Associate Dean (Community).** Fostering community-first focus is currently everyone's job but no-one's responsibility. New Faculty Associate Dean positions would track, coordinate, and enable faculty-wide and faculty-specific approaches to knowledge mobilization, partnerships, alumni engagement, and community service. (OBJECTIVES A, B, C) **3) Seed and nourish local and global partnerships with community and industry.** Seek out partnerships with transformational potential, deepening community connection and elevating Calgary and Alberta on the world stage. (Objectives A, C)

Make our processes clearer, simpler, and better than any other university.

To unlock the potential of our students, faculty, and staff, we must match our entrepreneurial outlook with commensurately flexible processes and services.

OUR GOAL	**Ensure it is simpler and faster to set ideas in motion here than at any other university.**
OBJECTIVES (2030)	**A)** #1 in U15, ease and speed of services and supports.
	B) #1 in U15, investment in professional development for postdocs, faculty, and staff.
	C) 90% of students, postdocs, faculty, and staff agree they have the tools and services necessary to manage their education or accomplish tasks.
HOW WE APPROACH OUR WORK	**Choose nimble, lightweight processes.**
	Services and supports will find ways to address needs — quickly.
	Clear processes, information, and explanations for decisions.
CROSS-CUTTING INITIATIVES	**1) Increase flexibility to change majors and register in other program's courses, creating a more seamless student experience.** To foster transdisciplinary learning and collaboration and encourage diverse passions, faculties will make more out-of-program seats available to students. (Objectives A, C) (also directly supports Strategy 1)
	2) Annual re-orientation to increase awareness of services available to students, postdocs, faculty, and staff. Create recurring opportunities across portfolios to build culture, develop skills, and become aware of supports and services available in teaching, research, community partnerships, and operations. (Objectives A, B, C)
	3) Invest in process improvement and professional development. Optimize student, faculty, and staff experience. Identify and address areas where improvement would have the biggest impact, invest in training to shape university operations. (Objectives A, B, C)

UNIVERSITY OF CALGARY | Campus Mental Health Strategy

Supplemental Data and Information Report
2022-2023

Prepared for:
General Faculty Council

Date:
May 11, 2023

The Campus Mental Health Strategy (CMHS) was launched in December 2015. It contains 28 recommendations across six strategic focus areas. We continually work on each of the recommendations and although most recommendations have been fulfilled, these commitments are iterative and require ongoing commitment (e.g., stigma reduction, promotion of mental health resources).

Currently, the CMHS is going through a renewal process, with a projected launch of an updated strategy in Fall 2023/Winter 2024.

Campus Mental Health Strategy

CMHS Renewal

The renewal process for the CMHS began last year. The CMHS evaluation team has been working to analyse, summarize, and consolidate the various pieces of data that speak to mental health and wellbeing for the campus community (e.g., Canadian Campus Wellbeing Survey, Graduate Mental Health and Wellbeing Survey, Faculty and Staff Mental Health and Wellbeing Survey). As well, the Institutional Sustainability Strategy and the CMHS have been working with a group of Elders to inform the renewal process for both strategies.

The renewal will consist of an update of the CMHS with a specific focus on areas that are informed by data and consultations. The timeline for the renewal of the CMHS is as follows:

- Fall 2022-Spring 2023 – student, staff, faculty consultations; data consolidation
- Spring 2023-Fall 2023 – development of the updated CMHS
- Late Fall 2023-Winter 2024 – launch of the updated CMHS

2022-23 Highlights

- **Recovery on Campus (ROC),** a partnership between the UCalgary Recovery Community (UCRC), the CMHS and Student Wellness Services, received $500,000 in early 2022 to support the development of recovery communities across Alberta post-secondary institutions in mid-2022. ROC, led by Dr. Victoria Burns (FSW), received an extension and additional funding to continue operations for another year. The CMHS has also supported UCRC and ROC with communications support in crafting a grant announcement and media coverage, as well as amplifying program offerings and event registrations.

- The second edition of **Collaborations for Change** (hosted by the CMHS and the Best-Practices Network) is being planned and will take place in August 2023. The C4C Conference is the first national post-secondary mental health conference with the aim of bringing students, researchers, clinicians, and student services professionals together to transform wellbeing on campuses. Programming for this year's conference will fall into one of 5 streams: Collaborations and Partnerships; Decolonization and Indigenization; Equity, Diversity, Inclusion, and Accessibility; Impact; Systematic Approaches.

- The **Certificate in Mental Wellbeing and Resilience**, which was launched in Fall 2019, is the largest embedded certificate at UCalgary. There are 119 students currently enrolled and, to date, 48 students have graduated. The participants this year worked in teams to address wellbeing challenges with seven Calgary community partners. An evaluation of the certificate was recently conducted using a mixed methods approach. The results of this evaluation demonstrated that the certificate met all program learning outcomes. As well, graduates of the certificate demonstrated enhanced awareness of mental health and resilience, improved self-care and coping skills, and increased ability to support others. In general, the certificate has positively impacted graduates' academic success, as well as their personal and professional lives.

- A **Faculty and Staff Mental Health and Wellbeing Survey** was conducted in January 2023 with approximately 2550 respondents. Data analyses is currently underway. Follow up consultations are scheduled for May/June 2023. Early responses indicate that 60% of respondents feel mentally well and that 58% feel content with their mental health and wellbeing. When asked about burnout, 76% of respondents indicated that they have experienced burnout in the past 2 years and 50% reported that they were experiencing burnout at the time of the survey. Most respondents feel their supervisors are supportive of mental health, they are treated with respect and have a sense of purpose in their work. The survey confirmed that there is good uptake and satisfaction with resources but opportunities exist for increasing awareness of the resources. When staff were asked to indicate which of the Thirteen Psychosocial Factors for Psychological

Health and Safety in the Workplace, as endorsed in the National Standard for Psychological Health and Safety in the Workplace, were of immediate importance at UCalgary, the top three factors identified were: civility and respect, clear leadership and expectations and workload management.

- We had excellent engagement with our UCalgary campus community through various programming including the 2022 **Summer Wellness Series** and **UFlourish** (both event series having increased attendance and engagement as well as external community member attendance). Another successful initiative was Series 2 of the UCalgary Mindfulness podcast, which maintains its 5-star rating on Apple podcasts.

- We interviewed two undergraduate students, a graduate student, a tenured professor, and a support staff member for our multi-year **Awareness Campaign.** This campaign is designed to further de-stigmatize mental illnesses through the lived experience of our campus community members. The campaign was placed on online and physical ad spaces, on social media, in e-mails including UToday articles and other faculty and unit-specific communications. Views of our video series are at 78,676, shown on YouTube, organic Instagram reels, and through Facebook advertising, as well as impressions received on-campus through print, newsletter, and on-campus display.

Programming, Communications and Development

The CMHS uses various media modalities and events to convey mental health messaging and resources, and to advance mental health in our campus community.

- **Website traffic**
  - 26, 041 (CMHS main site and subpages), *up 8% over last year*

- **Media exposure** (including news coverage):
  - Potential reach of 9 million, with 53% of media coverage within Alberta, 24% in Ontario, 18% in Quebec, and the remaining 6% distributed across Canada. The net tonality was overall positive.
- **Digital media**
  - Yearly social media impressions: 93,126
  - UCalgary Mindfulness podcast: 3,460 all-time downloads, 5-star rating on Apple Podcasts
  - 10,585+ unique reads of UToday CMHS stories
    - Stories included sharing a graduate's mental health journey in support of the CMHS' new development fund, an in-depth interview with a psychologist investigating hybrid working, an interview with UCalgary harm reduction experts on demystifying the new alcohol use guidelines, nutrition and mental health knowledge mobilization with Dr. Bonnie

Kaplan, PhD, and a CMHS event recap featuring senior academic leaders at UCalgary around co-creating well-being on campus
- Some of our stories have garnered organic media attention

- **Events attendance**
  - **UFlourish** (Oct 24th to Nov 4th, 2022): Hosted 47 events over 2 weeks and garnered 1229 participants in synchronous events, 263+ asynchronous views of recorded workshops, and 139 participating in asynchronous activities (e.g., wellness walks). In addition, there were 823 participants in flourishing-related events hosted by various units and promoted by UFlourish. Evaluations from UFlourish events indicated a 99% satisfaction rate. Key topics were Nutrition and Diet for Mental Wellbeing, Financial Wellbeing, and Culture and Mental Health.
  - **Summer Wellness Series 2022**: 603 registrants. Registrants have grown steadily year over year, including more local and national community with the current online format. Our 2022 events featured pertinent topics including assessment and well-being and organizational culture with Student Success Centre director Roxanne Ross. The latter featured presentations and conversations with deans, Dr. Dianne Gereluk, PhD and Dr. Sandra Davidson, PhD, as well as associate dean Dr. Kim Johnston, PhD.

- **Collaborations across various faculties and units**
  - A post-secondary mental health research hub is in development with the Mathison Centre to establish points of connection and knowledge mobilization among researchers specializing in mental health and well-being among emerging adults.
  - CMHS and Staff Wellness have co-created, with the advice of the Office of Equity, Diversity and Inclusion and the Office of Indigenous Engagement, a landing page for community [resources](#) for diverse populations and are working toward further consultation, additional resources, and a directory design.
  - Strategies have been identified with fund development to enhance community building and revenue streams for the Campus Mental Health Strategy and other units providing mental health and well-being support.
    - Giving Day/CMHS Impact Fund
    - Josephine Wearmouth Memorial Doctoral Scholarship
    - Collaborations for Change Conference partnerships

Budget – Campus Mental Health Strategy

The current available project funding is $1.09 million. The total budget allotted in 2016 was $3 million with about $720,000 going directly to fund three positions for three years in the

Wellbeing and Worklife portfolio which currently sits with Staff Wellness. The Director of the Campus Mental Health Strategy position is centrally funded and not through this project.

Staff and Faculty Initiatives

As highlighted in last year's report, WellBeing and WorkLife (WBWL), in Staff Wellness, has made an intentional shift in strategy, focusing on more "upstream" capacity building in units. WBWL utilizes a hub model to provide faculties and units with tools such as unit-based education, critical incident support and wellbeing resources through our Wellness Champion Network.

Highlights

The **Wellness Champions Network** (previously Wellness Advocate Program) was refreshed this year and these changes were launched at a CMHS-supported recognition event and planning meeting. The network is composed of over 200 UCalgary employees in a Community of Practice that contributes to a supportive workplace environment and campus community by sharing information on wellbeing resources and education, promoting positive psychosocial factors, and encouraging positive health and wellness practices in all community members.

We have also worked to enhance data collection and sharing so that program and intervention decisions can be data driven.

Training this year has focused on:
- The Working Mind (2022: 111 trained; 2023 Jan-March: 33 trained) is a foundational mental health program that was developed by University of Calgary researchers, piloted at the university, and offered since 2013. This training continues to be a vital mechanism for stigma reduction, fostering mental health conversations and promoting evidence-based techniques for mental health.

- Unit-based tailored sessions (2022: 270 attendees; 2023 Jan-March: 12 attendees) are on-demand sessions that units, departments, and faculties can request from WellBeing and WorkLife. Topics for this year included "Supporting our Return to the New Normal," and "WellBeing at Work – a Team Endeavor." These workshops enable participants to create a community of caring where faculty and staff can access wellbeing resources for themselves and others.

Student Wellness Services - Mental Health Services

Available mental health services at Student Wellness Services (SWS)
(www.ucalgary.ca/wellness-services/services/mental-health-services):

- Direct access:

  - peer support – daily peer listening
  - self-help resources – videos, apps, learning modules
  - workshops – strategies to maintain positive mental health, i.e., self-acceptance, stress and anxiety, improving behaviours, mood and emotional well-being
  - mental health education groups – multi-session supports
  - individual supports
    - one-at-a-time (single session) counselling, no limit on number of sessions (provides faster access and extended sessions)
    - coordinated care model
    - brief individual counselling
    - psychiatrist/physician referral
    - Student-at-risk team – consultation and support if there is concern about mental health risk of a student

Direct Access 2022/2023 Take Aways

- Some students still experience or view virtual services as a barrier, which may have limited some students from fully engaging with services. This supports the ongoing offering of a hybrid model of both virtual and in-person appointments, depending on student choice.
- The number of individual clients served shows a return to pre-pandemic levels. The blended one-at-a-time/Brief counselling model allows Student Wellness Services to provide timely access to counselling when students need it the most.
- There continues to be no waitlist for accessing mental health services, with an average time to book an appointment at 7 business days.

By the numbers

- Number of mental health appointments – 2021-2022: 6664; 2022-2023: 6411
- Number of workshop and event attendees – 2021-2022: 7518; 2022-2023: 13,361
- Number of mental health related staff: 2021-2022: 25 FTE; 2022-2023: 18 FTE, 2 Sessional Counsellors from Sept.-Apr., and 5 practicum students from Sept.-Apr. There are dedicated Student Support Advisor positions for Indigenous students, harm reduction and neurodiverse students.

- There is daily peer support programming for students with over 50 peer supporters.

Highlights

- Our **Reach Out Project** is an initiative funded by Quality Money that supports the UCalgary Suicide Awareness and Prevention Framework. Lead by SWS, this project has increased the availability of suicide and intervention skills training for our campus. Additionally, the classroom visits initiative (a specific aspect of the larger Reach Out Project) involved student peers going into classrooms for the first 5 min of class to discuss mental health resources, programs, self-care skills, etc. Over 7600 students were reached as a result of this initiative and it has been well received by both faculty and students.
- The **Neurodiversity Support Advising** role, introduced in late 2020, provides outreach and support to neurodivergent students in our campus community. This is accomplished by implementing processes and services to enhance supports, build connections between neurodivergent students and relevant resources, and identify and adapt current resources to fit the unique needs of this population. The demand for services, as well as outreach and training, necessitated the addition of an additional role in early 2023.
- In July of 2022 a 2-yr **embedded service pilot** began in collaboration with the Faculty of Veterinary Medicine. There is now a full-time dedicated counsellor on-site at the Spy Hill campus and who also holds office hours on Foothills Campus. Additionally, in December 2022 dedicated Student Support Advisor roles were added in both university residences and the Student Success Centre. The goal is to provide timely support and easier access to mental health services and support.

Budget – Student Wellness Services (Mental Health)

Budget allocation for mental health services and supports to Student Wellness Services include:

- Advanced Education Funding – $925,000 (from both Post-Secondary Mental Health Grant and Provincial Training Development)
- Other funding – $2,300,000 base budget and project funding

Report Submitted by:

Dr. Andrew Szeto, Director – Campus Mental Health Strategy
Kevin Wiens, Interim Senior Director – Student Wellness, Access and Support
Michele Moon, Team Lead, Wellbeing and Worklife, Staff Wellness

GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE

SUBJECT: **VPR Catalyst Grants Program**

PROPONENT(S)

Dr. William Ghali, Vice-President (Research)

PURPOSE

To provide the GFC Research and Scholarship Committee with an update on the VPR Catalyst Grant program.

OVERVIEW

VPR Catalyst Grants are designed to catalyze research initiatives that will lead to substantial external funding and are intended to support well-defined early-stage research activities. The program asks researchers to think boldly and strategically about how to maximize the impact of downstream funding. These stimulus grants prioritize those who present a winning research context, including for example mentorship, strong collaborators, and knowledge engagement partnerships.

Value: $1,000 - $15,000. In rare cases, up to $20,000 may be awarded
Duration: 6 months. Maximum 12 months, after which unused funds must be returned
Deadline: 4 per year. Nov 15, Feb 16, May 15, Aug 15

Beginning in May 2023, the VPR Catalyst Grant program will also serve to showcase participation in strategic research initiatives such as international partnerships. An information session will be offered on April 28. While no additional funding is earmarked for these initiatives, over time additional funding may become available; the interest presently is to track participation and investment.

KEY POINTS

Eligible Applications*	**215**
Awards to date	**126**
Intakes to date	**10**
Success rate (9 rounds)	**62.7%**
Total funding awarded	**$1,547,394**
Average award amount	**$12,281**
Note that one round is currently pending approval.	

Budget
The program's consolidated budget is supported by VPR operating funds and by the university's externally restricted NSERC and SSHRC General Research Funds and SSHRC Institutional Grant. More than half of the awarded amount has come directly from VPR funds.

Awards by broad subject area
- 42.1% to health research
- 34.1% to natural sciences and engineering research
- 23.8% to social sciences and humanities research

Awards by career stage
- Established researchers constitute 59.7% of the total applicant pool after ten rounds (early career applicants being the other 40.3%). The success rate for early career applicants relative to their own cohort stands at 70.4% (and at 57.5% for the cohort of established applicants). Early career researchers have earned 45.2% of the total awards granted, and established applicants have earned 54.8%.

Number of external grants applied for as a result of the VPR Catalyst Grants Program
- [*An update on external funding requests and funding awarded will be provided with the final slide deck*.]

BACKGROUND

The VPR Catalyst Grants program launched in Fall 2020 and serves as the flagship intramural sponsored research program offered by the Vice-President (Research) and Research Services. The review panel is chaired by Dr. Barry Sanders, Director of the Institute for Quantum Science and Technology. Ten rounds of applications have been adjudicated to date, the latest having been received on February 15, 2023. Previous updates were presented in February 2022 and to GFC in June 2022.

ROUTING AND PERSONS CONSULTED

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	Research and Scholarship Committee	2023-04-20				X
X	General Faculties Council	2023-05-11				X

NEXT STEPS

- For information only; no action required. Program updates will be provided annually or at the request of the General Faculties Council Research and Scholarship Committee.
- The next intake will be May 15, 2023.

SUPPORTING MATERIALS

Slide deck at the meeting.

GENERAL FACULTIES COUNCIL
INFORMATION BRIEFING NOTE

SUBJECT: **Transdisciplinary Connector Grants Program**

PROPONENT(S)

Dr. William Ghali, Vice-President (Research)

PURPOSE

To inform the General Faculties Council of the new Transdisciplinary Connector Grants program launched in April 2023.

OVERVIEW

The new Transdisciplinary Connector Grants program is designed to promote initiatives that enable UCalgary teams to explore questions, challenges and opportunities that demand a transdisciplinary approach. Transdisciplinary Connector Grants are meant for activities that are typically brief in duration with highly targeted aims. Connector Grants may build on current programs but are intended to support work that goes beyond the current scope of those programs. Leverage of existing resources and contributions (financial and in-kind) is welcome but not required.

KEY POINTS

- Transdisciplinary activities are recognized as team-driven initiatives with equal importance and responsibility of each proposed team member.

- The team applying should consist of a minimum of two (2) scholars with diverse backgrounds.

- Transdisciplinary Connector Grants are offered in two streams

    o Initiating stream: up to $10,000

        ▪ Duration: 6 months

    o Consolidating stream: up to $20,000

        ▪ Duration: 12 months

- Deadlines: 4 intake dates per year

BACKGROUND

The Transdisciplinary Connector Grants program was launched on April 4, 2023, with funding provided by the President's Strategic Fund. Applications will be reviewed and adjudicated by an internal review committee established by the Office of the Vice-President (Research).

ROUTING AND PERSONS CONSULTED

Progress	Body	Date	Approval	Recommendation	Discussion	Information
	Research and Scholarship Committee	2023-04-20				X
X	General Faculties Council	2023-05-11				X

NEXT STEPS

The first intake deadline is May 15, 2023. An adjudication committee will be appointed by the VPR to review applications.

SUPPORTING MATERIALS

Terms of Reference
Slide deck at the meeting

Transdisciplinary Scholarship Connector Grants

Terms of Reference

PROGRAM OBJECTIVES

The Transdisciplinary Scholarship Connector Grants program is designed to promote initiatives that enable UCalgary teams to explore questions, challenges and opportunities that demand a transdisciplinary approach. Connector Grant funding is distinguished from other forms of support such as start-up, bridge, or Catalyst Grant funding by its focus on fostering new, transdisciplinary connections among scholars, trainees, and external partners.

As UCalgary works to further define Transdisciplinary Scholarship with input from the University community at large, the following working definition provided by a working group on *Transdisciplinary Scholarship and Areas of Focus* provides guidance in determining eligible activities under the Connector Grant program:

> *"Scholarship built around problems, opportunities, and possibilities, not professions. People from multiple backgrounds working together on challenges. Transdisciplinary scholarship focusses on building knowledge between, across and beyond traditional disciplines. In a complex time of ever-increasing specialization, it tackles the big questions of our day that do not fit into one department or one faculty but require important contributions from those units and beyond. It's a way to create knowledge and to generate solutions."*

Connector Grants are meant for activities that are typically brief in duration (requiring clear timelines for the activities described) with highly targeted aims (scholars identify how the proposed activities lead to or intersect with broader, longer term transdisciplinary collaborations). Connector Grants may build on current programs but are intended to support work that goes beyond the current scope of those programs. Leverage of existing resources and contributions (financial or in-kind) is welcome but not required.

GENERAL INFORMATION

Connector Grants aim to support activities that help build new transdisciplinary connections. The proposed activities need to clearly show how they will result in lasting new connections as well as the benefit to the area of scholarship the activities are proposed for.

Transdisciplinary activities are recognised as team-driven initiatives with equal importance and responsibility of each proposed team member. The team applying for Connector Grants should consist of a minimum of two (2) scholars with diverse backgrounds. For administrative purposes one member of the team is to be identified as the project holder. An individual academic staff member may participate in multiple teams simultaneously. However, any individual academic staff member may be a Project Holder for at most one Transdisciplinary Connector Grant over a 24 month period, to support greater distribution of the grants across the academy.

At the conclusion of the grant period teams must submit a report outlining the outcomes of the Connector Grant. Team members who are recipients of a prior (completed) Connector Grant must have submitted the outcomes report for that Grant before requesting a new Connector Grant. Team members who hold a current Connector Grant must include an update on the progress and describe any overlap with the proposed Connector Grant.

Connector Grants are offered in two streams – Initiating and Consolidating.

Initiating

Initiating Connector Grants fund activities that support the building of new, transdisciplinary connections. Activities may include, but are not limited to: (research) symposia, meetings, travel to meet new (external) collaborators, stipends for student support, etc.

Value of the Award: Up to $10,000. Partner contributions from other sources (including departments, faculties, institutes, and/or external partners) are not required but are welcome if they meaningfully advance the new connections.

Duration of the Award: The default length of Initiating awards is six (6) months. If delays are experienced, no-cost extensions may be granted up to an additional six (6) months. Any unspent funds remaining after twelve (12) months return automatically to the Office of the Vice President (Research). No other extension requests will be granted without formal documentation of an interruption to duties.

The report on an Initiating Connector Grant should detail the new connections made and the ongoing (planned) interactions to further incorporate the transdisciplinary approach in their scholarship. Outcomes may, but are not required to, include (planned) external grant applications.

Consolidating

Consolidating Connector Grants offer the ability to build on and deepen, existing transdisciplinary activities and connections. This phase continues to support meeting expenses and stipends for staff and/or students to develop and engage in transdisciplinary research and scholarship. However, Consolidating Connector Grants are intended to support defined research and scholarship activities that advance collaborations, positioning them for potential downstream success in future scholarship and funding applications. In many cases, Consolidating Connector Grants will be a stage 2 application, submitted by teams who have received and completed the work of an Initiating Connector Grant. Teams can apply directly to the Consolidating Connector Grants stream, without first pursuing an Initiating Connector Grant.

Value of the Award: Up to $20,000. Partner contributions from other sources (including departments, faculties, institutes, and/or external partners) are not required but are welcome if available.

Duration of the Award: The default length of Consolidating awards is twelve (12) months. If delays are experienced, no-cost extensions may be granted up to an additional six (6) months. Any unspent funds remaining after eighteen (18) months return automatically to the Office of the

Vice President (Research). No other extension requests will be granted without formal documentation of an interruption to duties.

The report on a Consolidating Connector Grant should detail the ongoing (planned) interactions to further incorporate the transdisciplinary approach in their scholarship, how the funds have led to an increased and embedded transdisciplinary approach to the topic of the application, as well as a clear pathway to external grant applications.

ELIGIBILITY

Individuals holding UCalgary continuing academic appointments (tenured and tenure-track) are eligible. Individuals holding limited term, contingent term, or adjunct appointments are also eligible. Evidence of appointment terms may be requested.

DEADLINES

Applications for Connector Grants will be accepted on a quarterly basis.

Annual deadlines are:

Annual Deadlines	Start Dates
May 15	July 1
August 15	October 1
November 15	January 1
February 15	April 1

CONDITIONS

Connector Grant Awards are intended to establish transdisciplinary connections (Initiating) and to facilitate defining new, transdisciplinary approaches to topics (Consolidating).

Unspent funds will be recovered by the Office of the Vice-President (Research) after twelve (Initiating) or eighteen (Consolidating) months. Extensions requested on the basis of a formally documented leave where duties are interrupted (e.g., medical or family-related leave) may be granted for a period equal to the leave. Requests must be submitted no later than three months before the award end date.

Teams awarded a Connector Grant must complete an Outcomes report at the end of the grant period. The report should include the following information in the template provided:

- Expenditures incurred.
- Outcomes of the Project, including the details described above, and next steps in the program of work.
- Any additional information on outputs and impacts associated with the funding (i.e., publications, presentations, funding applications, honors/recognition, trainees involved, partnerships established or strengthened, etc.)

Applicants who have not submitted an Outcomes Report for completed projects will not be eligible for further Connector Grant funding until a report is submitted.

USE OF FUNDS

Expense eligibility is generally governed by institutional policy and procedure (i.e. the Travel and Expense Reimbursement Handbook) and program aims.

Examples of eligible costs and activities include:

- Personnel costs, including research assistants, undergraduate students, graduate students, postdoctoral fellows, etc.
- Expenses related to targeted transdisciplinary workshops, symposia and network meetings, including:
  o Event space rental
  o Meals and refreshments
  o Travel, meals, and accommodation
  o Facilitators
- Materials and supplies

EVALUATION

Applications will be reviewed and adjudicated by an internal review committee established by the Office of the Vice-President (Research).

REVIEW CRITERIA

The review committee will consider:

Initiating:

1. The extent to which the proposed activity is being approached in a transdisciplinary manner.
2. The extent to which the proposed activity leads to new collaborations among UCalgary scholars and trainees, external scholars and trainees, external partners (community, non-profit, industry, international). Note – new collaborations can be in one or more of the categories listed.
3. The extent to which the proposed area of work is compelling, and how impactful a transdisciplinary approach to the topic will be (to the team's career trajectory, to the university, to society).
4. The extent to which a concrete body of work or activity is being proposed for Connector Funding, as a logical progression to an (increasingly) transdisciplinary approach to the topic involved.
5. The extent to which the team includes the appropriate expertise and representation for the proposed work or activity. Is the proposed work or activity a fit for the team, and the other work that they do.

6. The extent to which the team is presenting a winning, transdisciplinary context (i.e. presence of mentorship, strong collaborators, knowledge engagement partnerships that will help advance the program).

Consolidating:

1. The extent to which the proposed activity is being approached in a transdisciplinary manner.
2. The extent to which the proposed activity leads to deeper collaborations among UCalgary scholars and trainees, external scholars and trainees, external partners (community, non-profit, industry, international). Note – collaborations can be in one or more of the categories listed.
3. The extent to which the proposed area of work is compelling, and how impactful a transdisciplinary approach to the topic will be (pathway to future funding applications, to the team's career trajectory, to the university, to society).
4. The extent to which a concrete body of work or activity is being proposed for Connector Funding, as a logical progression to an (increasingly) transdisciplinary approach to the topic involved.
5. The extent to which the team includes the appropriate expertise and representation for the proposed work or activity. Is the proposed work or activity a fit for the team, and the other work that they do.
6. The extent to which the team is presenting a winning, transdisciplinary context (i.e., presence of mentorship, strong collaborators, knowledge engagement partnerships that will help advance the program).

The evaluation process for both streams will be undertaken in a formative manner. In cases where applications are not selected for funding, the Connector Grants secretariat will provide direction as to how resubmissions may be improved upon, and research team(s) restructured such that their chances of success are greater in future competitions.

EQUITY, DIVERSITY, AND INCLUSION

Applicants must clearly demonstrate their commitment to EDI in their teams, including among students, postdoctoral fellows, and other team members as applicable. They must explain what actions they will take, the outcomes expected, and the assessment planned for each of the following three key areas:

- Team composition and recruitment processes as applicable.
- Training and development opportunities.
- Inclusion.

Actions taken are expected to remove barriers and provide opportunities for the meaningful integration of individuals from all equity-seeking groups including, but not limited to, women, racialized minorities, Indigenous peoples, persons with disabilities and persons from LGBTQ2+ communities.

Transdisciplinary Scholarship

Connector Grants

Applicants are strongly advised to consult resources and strategic guidance available through the Offices of Equity, Diversity and Inclusion and Indigenous Engagement and through their faculties and departments.

APPLICATION ITEMS

1. Approvals page (this intake does not currently flow through RMS);
2. Completed application form for the Initiating or Consolidating Connector Grant as applicable.
3. Budget and budget justification including, if available, leveraged contributions;
4. Biosketches of the team members of up to two pages total length each, describing the profile and project role of each team member.

Please assemble your application items in the order as listed here. Application items must be typed single spaced, Arial font size 11 or equivalent. Biosketches may be any format and there is no restriction on career period. A single, digitally generated and text-searchable PDF attachment with all items included in order is required.

SUBMISSION PROCESS

The application package will include the endorsement of the relevant Department Head and Associate (Dean) Research. Applications will be submitted online.

GENERAL FACULTIES COUNCIL EXECUTIVE COMMITTEE
Report to General Faculties Council
for the meetings held March 15, April 11, and April 28, 2023

The following report is submitted on behalf of the General Faculties Council (GFC) Executive Committee (EC).

March 15, 2023

Approval of the GFC and GFC Standing Committees Meeting Schedule for 2024-2025 and Revisions to the 2023-2024 Meeting Schedule

The EC reviewed the proposed meeting schedules for 2023-2024 and 2024-2025. The University Secretary provided an overview of the proposed changes to the typical scheduling, including that:

- There are currently 9 GFC meetings scheduled per year, with 3 in the Fall term, 4 in the Winter term, and 2 in the Spring term. The January GFC meeting typically has no or little business and has been cancelled on several occasions in the past, and so it is proposed to remove the January meeting from the schedule.

- The GFC standing committees co-chairs were consulted, and some changes to the scheduling of some committees are being proposed in order to optimize the operations of these committees

- In 2022-2023, the GFC standing committees were scheduled to hold in-person meetings at the start, middle, and end of the meeting year, with the remaining meetings scheduled virtually

- It is desirable to communicate the modality for the 2023-2024 meetings as soon as possible

In response to questions, it was reported that:

- There is variety across institutions and within the University regarding the modality of meetings, with some bodies remaining fully online, some returning to fully in-person, and some conducting hybrid meetings

- The proposal before the EC is to approve the meeting dates. Feedback is being sought regarding the modality of the meetings.

- The University Secretariat has been working with the Registrar's office and has been touring the main campus to explore options for a meeting space for the GFC other than ST147. At this time, no space has been identified that can support a properly-functioning hybrid meeting for 110+ people. It is the opinion of the University Secretariat that a format that does not support full and equal participation by all attendees does not meet the bar of good governance practice.

- ST147 is on a list for renovation and upgrading, but it is not known when this will happen or what improvements will be made. When ST147 in its current state is used for in-person GFC meetings, a virtual attendance option will not be provided.

- There are 110 GFC member seats and not all members attend a meeting, but GFC meetings are also attended by guests, observers, and supporting staff and so a large space is needed

- AD167 is fully equipped to continue to support hybrid participation at GFC standing committees as it did for the current meeting year

- There are no governance concerns with a fully virtual meeting. It is the hybrid model, which with a body the size of the GFC can have barriers to full participation, that is of concern, governance-wise.

The EC discussed:

- It would be valuable to have an inventory of spaces on campus that can support hybrid meetings

- If hybrid meetings for a body the size of the GFC are not possible at this time, continuing to alternate the modality is the preferred option

- It is important for members to know the modality of their meetings as far in advance as possible

- Efforts should continue to explore ways of achieving a hybrid format for GFC meetings in the future

- Alternating the modality of GFC meetings should take into account which dates are better suited for in-person and which would be better for virtual, for example the December meeting is after the last day of classes and would be suited to be held virtually. Alternating the modality is more elegant than a seemingly arbitrary pattern.

It was determined that the 2023-2024 and 2024-2025 meeting schedules will display that the GFC meetings will alternate between in-person and virtual format, and the GFC standing committee meetings will be held in-person with option to participate virtually.

The EC then voted to approve the revised 2023-2024 and 2024-2025 GFC and GFC standing committees meeting schedules.

It was reported that the University Secretariat will be sending calendar invitations to members in the summertime for the 2023-2024 GFC and GFC standing committee meetings.

Review of the Draft April 6, 2023 GFC Agenda

The EC reviewed the draft agenda for the April 6, 2023 GFC meeting.

In response to a question, it was confirmed that more meetings are scheduled for the GFC each meeting year than are required by the GFC Bylaws (the GFC Bylaws requires that the GFC meet a minimum of six times per year), and so there will be no contravention of the GFC Bylaws if this particular meeting is cancelled due to insufficient business.

There were no objections to cancelling the April 6, 2023 GFC meeting. The approved meeting schedules for 2023-2024 and 2024-2025 will be provided to the GFC members by email.

April 11, 2023

Nominations for Election by GFC of Two Academic Staff Members to the Advisory Selection Committee for a Director of the School of Public Policy

The EC discussed the desired composition of the ballot to be presented to the GFC, and specifically whether more than one nominee from the Faculty of Arts is desired. It was concluded that there be an effort to have two nominees from the Faculty of Arts on the ballot.

The EC then named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Selection Committee for a Director of the School of Public Policy. The

first four individuals to agree to stand for election will be presented on a ballot for the election of two by the GFC. Because of the time-sensitive nature, the election will be conducted electronically following the process set out in Section 8.3 of the GFC Bylaws.

Appointment of University Appeals Committee (UAC) Appeal Review Administrators

An EC member raised that, because of the nature of the work of the Appeal Review Administrators, it would be best to avoid appointment an academic staff member currently performing a role in a Dean's office.

The EC then named, in rank order, academic staff members to be approached by the University Secretariat to serve as UAC Appeal Review Administrators. The first four individuals to agree to serve will be deemed appointed by the EC.

Following the meeting, the following persons agreed to serve: Pam Veale, Cumming School of Medicine, Lesley Tims, Haskayne School of Business, Ahmed Alade Tiamiyu, Schulich School of Engineering, and Astrid Kendrick, Werklund School of Education.

April 28, 2023

Recommendation of Revisions to the Academic Staff Criteria and Processes Handbook

The EC received a presentation outlining the proposed revisions to the Academic Staff Criteria and Processes Handbook.

The EC voted to recommend that the GFC approve the revisions to the Academic Staff Criteria and Processes Handbook, effective July 1, 2023.

Recommendation of the Retiring of the Aboriginal Student Admissions Policy

The EC received explanation of the proposal to retire the Aboriginal Student Admissions Policy.

The EC suggested that the proponents be prepared to explain that this policy is no longer needed because the University is doing this work in positive newer ways.

The EC voted to recommend that the GFC retire the Aboriginal Student Admissions Policy.

Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity

The EC received explanation of the proposal to revise the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity.

The EC discussed the wording relating to 'best practices' and 'fair and just procedure'.

Appointment Work

Appointment of Four Academic Staff Members (at least one to be a member of GFC) to the Academic Program Subcommittee

The EC determined that none of the academic staff members appointed to the Academic Program Subcommittee by the EC should be from the same Faculty.

The EC then named, in rank order, academic staff members to be approached by the University Secretariat to serve on the Academic Program Subcommittee. The first four individuals, including at least one individual who is a member of the GFC, to agree to serve will be deemed appointed by the EC.

Following the meeting, the following persons agreed to serve: Getachew Assefa, School of Architecture, Planning and Landscape (GFC member), Leanne Wu, Faculty of Science, Samantha Thrift, Faculty of Arts, and Qiao Sun, Schulich School of Engineering.

Appointment of One Academic Staff Member to the Graduate Academic Program Subcommittee

The EC named, in rank order, academic staff members to be approached by the University Secretariat to serve on the Academic Program Subcommittee. The first individual to agree to serve will be deemed appointed by the EC.

Following the meeting, Elizabeth Oddone Paolucci, Cumming School of Medicine, agreed to serve.

Nominations for Election by GFC of Two Academic Staff Members to the Advisory Review Committee for the Dean of the Werklund School of Education

The EC named, in rank order, academic staff members to be approached by the University Secretariat to stand for election to the Advisory Review Committee for the Dean of the Werklund School of Education. The first four individuals to agree to stand for election will be presented on a ballot for the election of two by the GFC. The election will be held electronically following the May 11, 2023 GFC meeting.

Proposed Strategic Plan – Ahead of Tomorrow

The EC received a presentation outlining the development of the University's proposed Strategic Plan: Ahead of Tomorrow.

The EC discussed:
- The continued use of the word "entrepreneurial" throughout the document, and that the use of this word is of concern to some members of the University community. It was questioned whether the word "innovative" could be used instead. The proponents explained that it is desired that the University's Strategic Plan be distinctive, and that many institutions describe innovation in their strategic plans. Support for the use of the word "entrepreneurial" was also expressed, and it was observed that continued effort to define and dialogue about this may grow comfort.
- That the University's excellence in teaching is not as prominent in the Strategic Plan as some members of the University community would like to see, and that this could be better balanced with entrepreneurialism
- The commitment to provide one semester of financial support for first-in-family students is applauded
- The creation of required programming "focussed on entrepreneurial thinking, research, and creative scholarship", and that the wording around this initiative could be refined to better communicate the purpose of this required programming
- The importance of restating the University's commitment to reconciliation
- That community focus guides the University's values, and this is present throughout the Strategic Plan

- The connection of the Strategic Plan to companion institutional operational plans, including the Academic Plan and Research Plan, is important

- Food and housing insecurity are big concerns for students, and so the commitment to increasing financial support for thesis-based graduate students is applauded

- Developing the research ecosystem will benefit the University community broadly, including graduate students and international students

Review of the Draft May 11, 2023 GFC Agenda

The EC reviewed the draft agenda for the May 11, 2023 GFC meeting.

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Prepared by the University Secretariat on behalf of Ed McCauley, Chair and Penny Werthner, Vice-Chair

UNIVERSITY OF CALGARY

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council
for the meeting held on March 13, 2023

This report is submitted on behalf of the Academic Planning and Priorities Committee (APPC).

Approval of the Program Redesign for the Bachelor of Social Work

The APPC reviewed the updated proposal for Bachelor of Social Work redesign, which was first presented to the APPC at its December 12, 2022 meeting. Many of the updates focused on content expanding on how equity, diversity, inclusion and accessibility (EDIA) will be addressed in the redesigned curriculum.

The APPC discussed the proposed admissions questions; how the proposed curriculum aligns with accreditation requirements; the relationship between decolonization and anti-racism and equity and economization; and that Afrocentric should not be conflated with anti-black racism nor should Indigenous Ways of Knowing be conflated with anti-Indigenous racism.

APPC reviewed the program approval process, the timeline for developing the proposal, Faculty governance and concerns relating to approval of this proposal at the Faculty level. The APPC also reviewed its role and jurisdiction.

The APPC suggested some amendments to strengthen the proposal and approved the redesign for the Bachelor of Social Work (BSW) program.

Approval of the Creation of a Bachelor of Science (BSc) in Nursing

The APPC reviewed the proposal to create a BSc in Nursing program. It was explained that the BSc in Nursing is intended to replace the existing Bachelor of Nursing and has been designed to address the challenges from the existing program, respond to student feedback, and align with international trends within the field of Nursing.

The APPC discussed the proposed admission requirements; the program design and condensed completion timelines; that is important that thorough consultation be conducted with programs or Faculties impacted by program changes early on in proposal development and of Faculties working together to develop courses and reduce course duplication.

The APPC provided suggestions around ways to think about embedding Indigenous content in the program's practicum components and encouraged ongoing dialogue with other Faculties concerning options courses.

The APPC approved the creation of a BSc in Nursing with minor amendments to strengthen the proposal. Once the amendments have been completed the proposal will be submitted to the Ministry of Advanced Education for final approval.

Approval of a Change to Course Requirements for the Master of Strategic Studies

The APPC reviewed the proposal to change the course requirements for the Master of Strategic Studies (MSS) to move from a 36-unit two-year program to a 24-unit one-year program. The APPC learned that the revised program will respond to student needs and funding challenges and will align with other programs in Canada.

The APPC discussed the current versus proposed program requirements; consultation with students; and the governance structure for the Centre for Military, Security and Strategic Studies.

The APPC approved the proposal to change the course requirements for the Master of Strategic Studies.

Approval of a Redesign of the Military, Security and Strategic Studies PhD program

The APPC reviewed the proposal for a redesign of the Military, Security and Strategic Studies (MSSS) PhD program and learned about the challenges associated with existing program and led to the redesign, including issues around funding, the field of study examinations, time to completion, and the interdisciplinary nature of the program. It was reported that, due to the challenges associated with the program, it was suspended in 2019 and the redesign follows a thorough curricular review, responds to the needs of students around upskilling and reskilling, and introduces safeguards for student progression.

The APPC discussed the rationale for continuing to offer a traditional PhD program versus a professional doctorate; the thesis requirements; ongoing work by the Centre to ensure Indigenous content can be interwoven into the program; the current make-up of the student body and professoriate; the evolution of the field of security studies; and the sustainability of the program based on the proposed enrolment.

The APPC approved the redesign with minor amendments to strengthen the proposal.

Approval of a Revisions to Graduate Admissions and Academic Regulations Sections: A.5 – Offer of Admission, A.6 – Advanced Credit and Course Exemption, R – Vacation (Time Off from Studies)

The APPC reviewed the revisions to the graduate Admissions sections A.5 *Offer of Admissions* and A.6 *Advanced Credit and Course Exemption* and Academic Regulations R. *Vacation* of the Graduate Chapter of the University Calendar.

The APPC learned that the revisions to sections A.5 and A.6 address various issues and provide additional clarity to students. The change to Section R is to increase the vacation allocation for graduate students from two to three weeks, which will have a positive impact on graduate student wellness and align UCalgary vacation allocations with other top research universities

The APPC expressed its support for the changes, in particular increasing the vacation allocation for graduate students and approved the changes to the Admission and Academic Regulations Sections in the Graduate section of the Calendar.

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council
for the meeting held on March 27, 2023

Approval of the Suspension and Termination of the Second Languages Teachable Subject Area, Bachelor of Education (BEd)/BEd Honours (4-year On-Campus Pathway)

The APPC reviewed the proposal to suspend, and eventually terminate, the Second Languages Teachable Subject Area (TSA) within the 4-year on-campus pathway, Bachelor of Education (BEd) and BEd Honours programs.

The APPC learned that there were numerous complexities associated with students in the 4-year program being able to achieve their program requirements and as alternative pathways remain available without the same barriers, including the BEd/BEd Honours 5-year concurrent program and the 2-year after degree program the Werklund School of Education proposed the suspension and termination.

The APPC were supportive of this decision and approved the suspension and termination of the Second Languages TSA within the 4-year on-campus pathway, Bachelor of Education (BEd) and BEd Honours programs.

Approval of the Creation of a New Specialization in Rural and Remote Nursing within the Graduate Certificates in Advanced Nursing Practice I and II

The APPC reviewed the proposal for a new Specialization in Rural and Remote Nursing within the Certificates in Advanced Nursing Practice I and II.

The APPC learned that the Certificates in Advanced Nursing Practice I and II are in high demand and are running successfully. The new Specialization in Rural and Remote Nursing responds specifically to the Faculty of Nursing's Strategic Plan and student and healthcare demands for practitioners and healthcare leaders who have additional education and insight into the complexities of rural and remote practice.

The APPC discussed the critical need that this Specialization will help to address in healthcare and the incorporation of the Indigenous Strategy within the proposal and the benefit of evaluating the commitment over time.

The APPC approved the creation of the Rural and Remote Nursing Specialization with minor amendments to strengthen the proposal.

Approval of Revisions to Graduate Admissions Sections: A.2 Application for Admission and A.1 Qualifications and A.3 Admissions Categories

The APPC reviewed the revisions to the Graduate Admissions Sections of the Calendar. The APPC learned that the changes to section A.2 *Application for Admission* include new language to align the Calendar with the Academic Misconduct Policy and improve clarity for how the situation will be addressed when an applicant submits false information or provides misleading or inaccurate information as part of the admission process depending on when the information comes to light. Changes to Section A.3 *Admissions Categories* include removing content related to Conditional Admission for Language Upgrading and moving it to A.1 *Qualifications* and updating it to clarify requirements and timelines for commencing graduate studies after completion of the Academic Communication Certificate.

The APPC discussed the updated language used in sections A.2 and A.3 and approved the changes to the admission sections of the Graduate section of the Calendar.

APPC Mid-Year Survey Results

The Co-chairs provided an overview of the feedback received from the APPC's annual committee survey, which was conducted through Qualtrics.

The APPC discussed the different themes raised in the feedback, how the different perspectives of members add value to the Committee and ways the Committee can improve effectiveness and the experience of proponents attending APPC to present proposals.

ACADEMIC PLANNING AND PRIORITIES COMMITTEE
Report to General Faculties Council
for the meeting held on April 17, 2023

Approval of Graduate Academic Regulation Changes to Sections D.1: Registration and D.3 Student Status related to Term-based Registration

The APPC reviewed the changes to the Graduate Academic Regulations for Sections D.1: *Registration* and D.3 *Student Status*. The APPC learned that as preparations were being made to implement term-based registration for course-based graduate students in Spring Term 2023, it became apparent that these sections required updating to align with new definitions, to explain the effects of a course-based student withdrawing from courses and to add clarity for both course-based and thesis-based students around scheduled breaks, and what happens when students fail to register.

The APPC revisited the rationale for implementing term-based registration, including to ensure the University's compliance with Canadian law in terms of part-time and full-time status for students and the definitions for part-time and full-time in relation to the proposed changes.

The APPC approved the changes to Sections D.1: Registration and D.3 Student Status in the Graduate section of the Calendar.

Recommendation of the Name Change for the Department of Geoscience to the Department of Earth, Energy, and Environment

The APPC reviewed the proposal to change the name of the Department of Geoscience to the Department of Earth, Energy and Environment. The APPC were provided with an overview of the history of the Department and how internal and external factors have led to the current low enrolment in the Department's programs and which was one of the factors that prompted the proposed name change from the Department of Geoscience to the Department of Earth, Energy, and Environment.

The APPC learned that the proposed name change aligns with the interdisciplinary and transdisciplinary priorities of the University, and that the proposed rebranding and the move of the existing Environmental Science program are the result of extensive engagement with stakeholders in the geoscience community.

The APPC discussed the timing and depth of the consultation done with other relevant Departments/programs and that it is best that consultation is occur enough in advance to allow for meaningful feedback and dialogue; challenges arising from having programs/departments with duplication across different Faculties and how this may cause confusion for students, and that greater supports are needed to better operationalize transdisciplinary teaching, learning and research; support for the evolution and diversification of the Department.

The APPC provided suggestions for future work, including ways to align with ii' taa'poh'to'p and highlight the work the Faculty of Science and Department are doing in terms of Indigenous engagement, and to be able to demonstrate the Department's expressed commitment to EDIA.

The APPC recommended the name change to the General Faculties Council for approval but requested that more details on next steps that would follow the name change and details on how the name change supports the Department's commitment to increase diversity of faculty, staff, and students be added.

Quality Assurance Unit Review for The School of Public Policy

The APPC received the School of Public Policy (SPP) Quality Assurance (QA) Unit Review public summary report. The APPC learned reasons why the generation of the report was delayed, including that there was a delay with the review team producing the report and staffing changeovers in both the Provost's Office and the SPP. It was observed that the QA report for the SPP is relatively brief and lacks detail in regard to why recommendations are being made and that the SPP had already identified many of the suggestions raised within the report and work to address these is underway.

The APPC discussed the recommendations, the unit review process outlined in the Quality Assurance Academic Unit Review Handbook, the structure of the SPP, how the report has been shared with SPPC faculty and staff, and how the SPP is responding to recommendations about improving its organizational culture and ensuring its team is diverse and inclusive and addresses both EDIA and i' taa'poh'to'p.

Space Program for Veterinary Medicine Program Expansion

The APPC were provided with an overview of the space program and the blocking and stacking proposed for the Veterinary Medicine Program Expansion project. The APPC learned that the main objective is to create additional teaching and learning spaces to respond to the increased enrolment in the Doctor of Veterinary Medicine (DVM) program from 50 to 100 students.

The APPC discussed the project, and how the existing and new space will function as a whole, the importance of having clear signage for the washrooms and a variety of options for inclusivity, creation of a dedicated examination space funded by Students' Union Quality Money, planned consultation with the Indigenous community and suggestions around both new advisor and prayer spaces.

Prepared by the Secretariat on behalf of Penny Werthner, Co-Chair, and Tara Beattie, Academic Co-Chair

TEACHING AND LEARNING COMMITTEE
Report to General Faculties Council
for the meetings held March 14, 2023 and April 18, 2023

This report is submitted on behalf of the Teaching and Learning Committee (TLC).

March 14, 2023

2022 Taylor Institute Learning Spaces Report

The TLC received a presentation summarizing the 2022 Taylor Institute (TI) Learning Spaces Report, including:

- Data regarding the usage of the TI learning spaces

- That four themes guide the TI with respect to its learning spaces: 1) the need for a consistent, reliable suite of technology, 2) the need for flexibility for discipline-specific teaching and learning practices, 3) that students need to be able to access technology within and outside their formal course activities, and 4) a course experience will differ depending on the person's role in the course, their connections to others in the course, and the various technology that they use

- That, in response to feedback, the TI has made improvements to its spaces including: identification of smudge-friendly spaces, purchase of additional whiteboards, transition to the Crestron AirMedia technology interface, updating of video cameras, and the establishment of Zoom videoconferencing and YuJa lecture capture enabled learning spaces

- That the TI is exploring options to improve accessibility, including the acquisition of adjustable tables and chairs and adopting Listen Everywhere audio streaming technology

- That the TI's priorities for 2023 are:

  o Furthering collaborations with key partners across the institution and advancing integration with existing University processes

  o Ensuring accessibility for everyone in the TI spaces

  o Continuing to explore, support, and evaluate the full spectrum of on-campus, blended, hybrid, and online teaching and learning

  o Enhancing the role of the TI as a 'learning lab' to inform the development of innovative spaces, technologies, and teaching practices across the University

  o Ensuring a sustainable support model for users of the TI learning spaces, and having an evergreening plan to continuously renew the items in the TI spaces

The TLC members were given an opportunity during the meeting to submit their feedback to the presenters through a Padlet virtual posting board.

The TLC discussed that:

- Persons wishing to use the TI's teaching spaces used to have to apply to do so and had to demonstrate a need for these modern spaces. It was reported that this is no longer required, in part in order to ensure that the spaces are accessible to all.

- The impressiveness of the TI spaces draws attention to the difference between these and some of the other learning spaces at the University. The University needs to invest in all of its learning spaces.
- The TI's classrooms and study spaces are unique and a valuable asset to the University

Community Conversation on Learning Spaces 'What We Heard' Report

The TLC received a summary of the Community Conversation on Learning Spaces 'What We Heard' Report and related information, including that:

- A community conversation about the University's learning spaces was held on January 27, 2023
- Four themes emerged from the January 27 discussions: 1) the need for predictable and stable technology and the availability of technology support, 2) the need for general classroom support, and a teaching community to, in part, increase awareness of how others have used spaces, 3) the need to redesign spaces through a lens of inclusivity and accessibility, and 4) the importance of the 'spaces in-between' (i.e. hallways, pathways, gathering spaces)
- It is being explored whether Archibus, the University's online space tracking and request tool, can be modified to provide more information to facilitate effective booking of spaces for instructors
- The virtual participation in the January 27 event was not functional, even with troubleshooting staff present, and this was a good example of the challenges instructors can face when trying to deliver in a hybrid manner

The TLC discussed that:

- The opportunity at the event to discuss current matters relating to learning spaces was appreciated
- Matching instructors to a space that meets their teaching needs is good
- It is valuable to make information available so that students can choose a course section that is being offered in a space that facilitates them being successful
- Simple space changes, such as different lighting or paint, can have a positive impact on neurodiverse students
- Making learning spaces more broadly accessible will reduce some need to request accommodation and improve the overall student experience. For example, a database of wheelchair accessible learning spaces that is available without needing to produce a doctor's note demonstrating need would be a positive change.
- Some of the details in the report, such as recording concerns about the short period of time between classes, are appreciated
- Instructors facing technology issues in the learning space can experience stress and humiliation, and can be penalized in the course evaluation, and this is unfair. The failure of technology in a learning space can also have consequences such as inability to deliver course content as set out in the course outline or reducing the time available for an assessment (e.g. if an instructor cannot play a video clip during an exam).

The TLC heard that conversations about the University's learning spaces will continue, and that Information Technologies will seek funding dedicated to improving the available technology.

Teaching and Learning Round Table Discussion

The TLC was given an opportunity to discuss matters currently impacting teaching and learning, and discussed that:

- Artificial Intelligence (AI), and specifically ChatGPT-4, is a growing concern, especially regarding the assessment of students

- There are concerns about the lack of availability of some courses and how this can impact students meeting their graduation requirements. Overcrowding of high-demand courses is not a positive solution. The systemic issue of budget constraints paired with a growing student population is a serious problem.

- As the University implements its commitment to equity, diversity inclusion and accessibility (EDIA), there are expectations that instructors will make their course content more inclusive. It is necessary to diversify the University's teaching forces.

- The University is holding Neurodiversity Week from March 13-17, 2023, and there are several events that instructors, staff, and students can participate in and learn from

Standing Reports

The TLC received reports on the current activities of the Course Feedback Implementation Working Group, Taylor Institute for Teaching and Learning, and Students' Union.

Leslie Reid, Co-Chair, and Barbara Brown, Academic Co-Chair

April 18, 2023

Work Update from the Course Feedback Implementation Working Group (CFIWG)

The TLC received an update on the work of the CFIWG, which has included an environmental scan and considering the new name of the University's survey, the questions, the survey design, and how the system will work. The TLC learned that companion initiative to move to a new feedback software, Explorance Blue, is underway. The TLC heard that the CFIWG has discussed:

- The new survey name should make clear that information is being sought about a student's experience in the course, not their overall program, and that the survey name acronym should be reasonable

- From a student perspective, there should be a single survey. The survey would have components: core University questions, Faculty questions, and optional instructor questions.

- Because students may be doing five of these surveys per semester, the survey should have a total length of 10-16 questions. The questions could be distributed as 5-8 core questions, 5-6 Faculty questions, and 0-2 instructor questions.

- The core University questions could have five themes (feedback on learning, learning skills, learning outcomes, learning environment, and application of learning) and would apply to every type of course. The Faculty questions could be more directed.

- Explorance Blue has a bank of questions that can be drawn on

In response to questions, it was reported that:

- The CFIWG spent its first two meetings studying the predecessor Universal Student Ratings of Instruction (USRI) Working Group's report, and it is clear that a new name, flexible structure, and accessible and digital format of the course survey is needed

- The core University questions that the CFIWG is proposing will be piloted with a diverse group of students to ensure that the questions are being interpreted as intended. The survey will have a preamble that will set out the purpose of the survey and what students are being asked to focus on.

- The core University questions could be qualitative in nature

- The CFIWG will not be proposing the specific Faculty or instructor questions, the CFIWG will only be proposing the number of questions that will be permitted.

- It is possible that the General Faculties Council (GFC) might decide not to have any core University questions as part of the survey. There is a range of survey structures across the U-15.

- The titles of the core University question themes will likely not be presented to students within the survey. These titles are currently being used as a way of keeping track of categories as the new survey is developed.

- There are a variety of types of questions in the Explorance Blue bank, and these are customisable

- Reporting from Explorance Blue can be customised, such as it can be set up so that answers to the instructor questions can be provided to the instructor only, but this would likely be an institutional or Faculty decision

- It is expected that a document will be approved by the GFC that will describe details including how questions will be chosen and how results will be reported

- The University will be able to learn from peer institutions that are already using Explorance Blue.

- It will take some time to fully implement the new survey. Some institutions have taken more than five years to do this.

The TLC discussed that:

- A drawback of the USRI survey was that a student could fixate on an issue or grievance and not communicate about their learning. It will be important to ensure that students understand the purpose of the survey.

- A question around the relevance of the student's learning could fit within the 'application of learning' theme

- It is hoped that the responses to the survey will inform teaching, and so offering units a bank of customisable questions would allow for the selection of useful questions

- The name of the 'feedback on learning' theme is not particularly meaningful. Questions under this theme could be a mix of quantitative or qualitative, depending on what is considered to be more valuable.

- Once the number and nature of any core University questions are set, Faculties and instructors will be able to set complementary questions as suits their needs

- Keeping the number of core University questions fewer (5-6 rather than 5-8) would allow Faculties and instructors to have more questions

- Some Departments and programs may want to add questions too. The presenters indicated that the "Faculty questions" component they are describing is meant to be broken down into Faculty, Department and program questions as seen fit.

- Instructors may need guidance on what is an appropriate question to add to the survey

The TLC will discuss this subject again at its next meeting, including consideration of some proposed core University questions.

Teaching and Learning Round Table Discussion

The TLC was given an opportunity to discuss matters currently impacting teaching and learning, and discussed that:

- Clear guidance around the use of technology for final exams is needed, including what to do if a student encounters technical difficulties during an exam. This is also an equity issue, as some students may not have a device or multiple devices to utilize during an exam.

- There are some concerns about the first draft of the University's new Strategic Plan, including that there is not much content relating to teaching and learning, mental health, accessibility, and inclusion. The creation of University-wide mandatory courses is a good idea, but the proposed topics are questioned.

- The international student population is increasing, but there is no funding to increase supports for these students

Standing Reports

The TLC received reports on the current activities of the Taylor Institute for Teaching and Learning, Graduate Students' Association, and Students' Union.

Prepared by the University Secretariat on behalf of Leslie Reid, Co-Chair

UNIVERSITY OF CALGARY

RESEARCH AND SCHOLARSHIP COMMITTEE
Report to General Faculties Council
for the meetings held March 16, 2023 and April 20, 2023

This report is submitted on behalf of the Research and Scholarship Committee (RSC).

March 16, 2023

Canada First Research Excellence Fund (CFREF) Application Update

The RSC received a presentation on the University's *One Child Every Child* Canada First Research Excellence Fund (CFREF) application, including:

- An overview of the development of the application, description of the project's transdisciplinary nature, and the application process
- The current status of the application

The RSC discussed that:

- Generally speaking, the data relating to Canada Research Chairs, studentships, etc. held by members of the University community would be useful when applying to programs such as the Banting Postdoctoral Fellowships. The presenters indicated that this data can be shared, and the presenters also observed that the University has foundational teams, including the Knowledge Engagement Unit, Social Innovation Unit, and Innovate Calgary, that could be referenced to strengthen applications, and that effort will be made to increase awareness of these.
- The University has an institutional database of publications, but it takes time and effort to turn this information into analysable data

Transdisciplinary Scholarship Update

The RSC received a presentation updating the committee on transdisciplinary initiatives at the University, including:

- Focus on transdisciplinary scholarship at the University is not new. Cross-cutting strategic research themes were described in the 2012 institutional Research Plan, and the 2018 Research Plan and 2021 Framework for Growth expanded on these.
- Transdisciplinary scholarship gatherings were held in November and December 2022 and February 2023, and there will be additional events before July 2023. These events are intended to facilitate deep conversations on the definition of transdisciplinarity and about a variety of transdisciplinary topics, and to enable the identification of specific topics and people for transdisciplinary activities.
- A survey on defining transdisciplinarity will launch at the end of March 2023
- A report on transdisciplinary scholarship at the University is anticipated to be complete in December 2023

- Five Coordinators are being hired to support transdisciplinary efforts at the University, in the areas of Cities and Societies, Democracy and Change, Energy Transitions, Digital Worlds, and Health and Life.

- Funding for transdisciplinary scholarship will come from the President's Strategic Initiative Fund, an internal chair program (UCalgary Research Excellence Chairs), an external hiring program that transcends disciplines, and Connector Grants

- Teams and SharePoint sites have launched, and a transdisciplinary work website is in development

- The Institute for Transdisciplinary Scholarship is being established, with a governance structure and terms of reference

- A proposal for a University-wide transdisciplinary mega-project is being developed

The RSC discussed that the University is succeeding with high profile transdisciplinary projects, and this will grow to even more investments and successes.

In response to a question, it was reported that the Transdisciplinary Scholarship team is not currently connected to the University's College of Discovery, Creativity and Innovation (CDCI), but it is intended to begin engaging more with students including by inviting students to upcoming transdisciplinary scholarship events.

April 20, 2023

Revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity

The RSC reviewed the proposed revisions to the Research Integrity Policy and the Procedure for Investigating a Breach of Research Integrity.

Discussion included that the policy refers to "Research Involving Indigenous Peoples" in a standalone section (4.5) and "Research Involving Humans" in subsequent sections (4.6 to 4.11), and it was suggested that consideration be given to combining these.

In response to a question, it was reported that the person who has lodged an allegation is advised of the outcome, but they are not given a copy of the detailed report of the Investigation Committee.

VPR Catalyst Grants Program

The RSC received a presentation on the VPR Catalyst Grants program.

In response to questions, it was reported that:

- The Tri-Agency - Social Sciences and Humanities Research Council of Canada (SSHRC) is a funding source for the VPR Catalyst Grants program. A VPR Catalyst Grant can be used for SSHRC funding matching if it is allocated from other VPR operating funds.

- Researchers in the SSHRC disciplines can also apply to the University's Enhancement Grants funding program

This presentation will be given at the May 11, 2023 GFC meeting.

Transdisciplinary Connector Grants Program

The RSC received a presentation on the Transdisciplinary Connector Grants program.

In response to questions, it was reported that:

- Persons are reaching out to the Transdisciplinary Scholarship support team to enquire if their work meets the definition of 'transdisciplinary'. Effort is being made to refine the working definition of 'transdisciplinary' to make it more practical, and this will be discussed at the next gathering on June 20, 2023.

- There will be lessons learned during the first iterations of the Transdisciplinary Connector Grants program, with things that work well built upon and adjustments to improve made as needed, and feedback will be welcomed

- Consideration is being given to how to include postdoctoral scholars, and potentially graduate students, as eligible program co-applicants

Discussion included that students (undergraduate and graduate) and postdoctoral scholars can help draw faculty into transdisciplinary projects.

This presentation will be given at the May 11, 2023 GFC meeting.

Research Computing Update

The RSC received a presentation on matters relating to research computing, including:

- The services offered by the Research Computing Services team, which includes data scientists, software developers, and system administrators

- The University's digital research infrastructure, and data relating to High Performance Computing

- An update on the implementation of the Research Data Management Strategy, which was approved and published in March 2023

- The CANARIE research software development support team project

- Federal/national research computing initiatives

In response to questions, it was confirmed that Research Computing Services offers trainings and workshops, some of which are discipline specific, and effort will be made to increase awareness of these.

Indigenous Research Update

The RSC received a presentation on matters relating to Indigenous research at the University, including:

- The Indigenous Research Support Team (IRST) has been established. The IRST's role includes services such as supporting Indigenous scholars who are in high demand for research and administrative work, facilitating contacts with the Indigenous community, assisting with preparedness for ethical connections with Indigenous communities, and supporting researchers in applying for grants. The IRST is unique in its focus, but connections are being grown with similar initiatives across the country.

- The Office of Indigenous Engagement has a Steering Committee that is currently being renewed after being on pause during the pandemic

- Work has been done to ensure that the University's Conjoint Faculties Research Ethics Board has awareness of the First Nations Principles of OCAP (ownership, control, access and possession)
- The Tri-Council is developing processes for receiving applications in Cree and other Indigenous languages
- The Office of Indigenous Engagement, including the IRST and other teams, can provide information on self-development and is working on developing training opportunities

Discussion included that the presence of the IRST will encourage researchers and students to become engaged with the Indigenous community, and this will spark research projects.

It was reported that members can email the IRST at irst@ucalgary.ca and there is a bimonthly newsletter that members can sign up for.

Prepared by the University Secretariat on behalf of Robert Thompson, Co-Chair, and Dora Tam, Academic Co-Chair

1.Welcome and housekeeping (Chancellor)

2. Land acknowledgement (Chancellor)

3. Chancellor's remarks:

Highlighted university successes which referenced the President's visit to Singapore, and the presentation later in the agenda of students from the iGEM team along with considerable number of activities on-going around the campus. Challenge between the UCalgary Alumni Association board and the Senate to see who can raise the most amount of food or funds to support the SU Food Bank and the GradSnacks program; thanks from the OCS to the Senators for their donations.

4. Remarks from the President and Vice-Chancellor

[The Chancellor indicated that this item would be removed since the President was unable to attend; in his absence he did send his regards to the Senate members]

5. Revised agenda was approved

6. Consent agenda items:

a) Approval of the Senate meeting minutes of December 15th, 2022

Reports for information

b) Graduate Students Association, c) Students' Union, d) Recruitment and Membership, e) Community Engagement, f) Honors, g) Governance.

There were no questions.

7. Presentation by Sangeetha Varghese (Vice-Chair, Governance Committee) on new Board of Governors Process Document.

This was followed by a motion to approve the document. Carried unanimously.

8. Vote to approve Second Term Senators.

Max Chan, Michael Bosdet, Sarah Damgerger, Donna Finley, Katherine Wagner (all left the room).

Paper ballots were completed by Senators and provided into a ballot box for the tally of votes. Second term senators were invited back and completed their own ballots.

9. HD Vote. Presentation by Colleen Pound (Chair, Honors Committee) provided an overview of the three nominees selected for consideration for the Honorary Doctorate of Laws. Mr. Pat Carlson, Mme. Graca Machel, Mr. Fania (Fanny) Wedro

Vote to approve the nominees followed. Paper ballots were completed and provided into a ballot box for the tally of votes.

Refreshment break during which votes were tallied.

Discussion

Item 10. Vote results

All second term senators were approved; all nominees for HD consideration were approved.

11. Strategic Plan Update (2017-2023) Presentation by Sangeetha Varghese (Vice-Chair, Governance Committee) on process of updating the Senate's Strategic Plan.

Discussion focussed around the possibility of including the Senate's Strategic Plan into the UofC Strategic Plan that is currently being prepared, and to move away from "silos" where the Senate has it's own separate Strategic Plan independent of the UofC.

12. Senate appointment to the Board of Governors presentation by Glenn Tibbles (Senator and Senate appointment to the Board of Governors – term expiring).

Time commitment, requirements of the position, encouragement for all Senators to consider submitting their names for consideration.

13. Presentation: UCalgary iGEM 2022 team – student led initiative International Genetically Engineered Machine (iGEM). Competed as a multi-disciplinary team in the annual competition to use synthetic biology to solve real-world problems. Students reported on winning Best Sustainable Impact award for their food packaging of Cellucoat – a biodegradable alternative to plastic packaging for supermarket fruit with broader impact to other products, at the 2022 Grand Jamboree in Paris. Cellucoat is also a finalist for the WEGE prize, a yearly international student design competition around sustainability. Cellucoat patent application is proceeding.

Senators asked several questions of the students and they were thanked for their work along with their instructor who guided them.

14. Other business: David Price stepping down from Senate to his new appointment as a Board of Governors member; David was thanked for this service.

15. Adjournment at 6:40 PM

**Report to the General Faculties Council
on the Meeting of
The Board of Governors (Open Session), March 24, 2023 (8:00 am)
From the Member of the Board nominated by GFC**

The Chair of the Board, Mark Herman, called the meeting to order at 8:06 am with a welcome to new Board Members and external guests, and a farewell to outgoing student leaders. The approval of the meeting agenda and identification of any existing conflicts of interest amongst the Board Members were then confirmed.

A new land acknowledgement was provided by the University Chancellor Jon Cornish.

Michael Van Hee, Vice-President (Finance and Services) - Development presented the University's exposure to safety risks and trends in safety performance over time.

Following the safety moment, an update on the Social Innovation Initiative and approval of previous meeting minutes, three action items were then presented:

- Approval of the University of Calgary's 2023-2024 Consolidated and Capital Budgets
- Approval of the Board and Standing Committees Schedule for 2024-2025 and Revisions to the 2023-2024 Board and Standing Committees Schedule
- Approval of the Veterinary Medicine Expansion Project Budget

All three items were approved unanimously by the Board.

The only information item was the Report from the President.

Reports and documents included in the meeting materials included:
- Updates to the Partisan Political Activities Policy
- Updates to the Environment, Health and Safety Policy
- Student Appeals Office Annual Report
- Standing Committee Chair Reports:
    - Audit
    - Environment, Health, Safety and Sustainability
    - Executive
    - Finance and Property
    - Human Resources and Governance
    - Investment
- Board Member Reports
    - Report from the Chancellor and Board Member nominated by the Senate
    - Report from the Board Members nominated by the Alumni Association
    - Report from the Board Member nominated by the University of Calgary

Faculty Association
- Report from the Board Member nominated by the Alberta Union of Provincial Employees, Local 52
- Report from the Board Member nominated by the Students' Union including the Students' Union Quality Money
- Report from the Board Member nominated by the Graduate Students' Association

There being **no other business**, the Open Session of the Board Meeting was then adjourned at 9:55 am.

Sincerely,

Joule Bergerson