

# FACULTY OF SOCIAL SCIENCES

## POLICY GUIDELINES RELATIVE TO APPOINTMENT, INCREMENT, PROMOTION AND TENURE

Approved by Faculty Council: October 6, 2005

Approved by the Provost: December 9, 2005

The following document places the Faculty of Social Sciences policy guidelines regarding appointment, promotion, tenure and annual assessment for increments in the context of the general guidelines in the University as a whole. These have been outlined in the revised APT Manual. The GPC Manual has been updated to conform with the revised APT Manual. Both of these documents take precedence over the faculty guidelines provided in this document. For information regarding contractual arrangements governing relations between the Board and the Faculty Association, faculty members should consult the Collective Agreement dated July 1, 2004. From time to time the APT Manual and GPC Manual will



A. RELATIVE IMPORTANCE OF RESEARCH, TEACHING AND



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

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

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

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

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

Teaching shall be evaluated on a regular basis and student evaluations shall be required for all academic appointees (Teaching and Research) (see APT Manual 3.2.3 and 3.2.4). Teaching shall be evaluated most commonly by the results of surveys conducted by the Faculty and results will be made available to Department Heads. ~~But~~ such evaluation of teaching may be based upon the general reputation enjoyed by the teacher and informed peers and students. Such reputation shall be evidenced only by signed documentation from formal evaluation processes initiated in the context of the APT Manual, Section 3.5.3 and Section 3.5.4 (APT Manual 3.2.4.) Other methods of evaluating teaching effectiveness include Universal Student Rating of Instruction (USRI), visits to classes by Department Heads, colleague peer-assessment, awards, course outlines, and

- (2) Associate Professor the scholarship expectation is that a research program will become fully established as well as continuous evidence of publication

- 1.4 In addition it is expected that a copy of the Head's assessment shall be presented to and discussed with the member of staff so concerned within the scheduled time period established by the General Promotions Committee (APT Manual 6.2.4.).
- 1.5 Assessment of Adjunct or Clinical Appointees Review of performance shall occur in the year prior to renewal of the appointment. If promotion to the next rank is being recommended, the recommendation shall be brought forward to the Faculty Promotions Committee in February of the



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

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

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

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

## D.2 OPERATIONALISATION OF EVALUATION CRITERIA

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

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

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

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

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

## 2.6 Service

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

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

- 2.7 Promotion to Professor requires excellence in all three areas of teaching, research, and service. Accomplishments in research will normally include, among other publications, at least one book acknowledged to have made a significant contribution to scholarship, or if books are not published, a significant contribution to scholarship in other forms.
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faculty member will have until January 15 following the reporting year to include in their report as part of the annual assessment material

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

### D.3 PROCEDURES FOR SELECTION AND APPOINTMENT

To conform with APT Section 4.8.11 relating to “Extraordinary Procedures for Expedited Spousal Hiring”, these procedures in the Faculty of Social Sciences shall normally

## Procedures for Tenure

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

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



## Procedures for Tenure and Promotion

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

1. That, for each case, the Head in consultation with the Advisory Committee, shall appoint a departmental Tenure or Promotion Committee (hereafter referred to as the Committee) consisting of three continuing members of the department, plus the Head. For greater clarity in these procedures, the term "continuing members of the department" herein shall mean only those faculty members holding Continuing appointments in economics, or if part-time or joint with other units a Continuing appointment which is at least 50% FTE in economics. Normally, the Head would chair the Committee. Where possible, at least one member of the Committee should be in

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

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





## Department of Geography (continued)

- d) [Guidelines must] provide that the Head make the applicant's curriculum vitae and relevant research/publication materials available for not less than two weeks for inspection by those included in the consultation process. Under no circumstances shall the Head disclose the contents of letters solicited from referees, which are confidential to the Academic Appointment Review Committee (see Section 5.6.15).

Department Head's response

While respecting FOIP requirements, the Department Head:

- a) ensures each applicant's curriculum vitae and relevant research/publication materials (hereafter referred to as files) are located in a secure accessible location, for a period not less than two weeks, to enable tenured academic staff and others identified as part of the consultation process, to view the applicant's files;
  - b) provides an opportunity for signed, written input from tenured faculty members in the Department regarding the applicant;
  - c) in cases where applicants are appointed to joint degree or other collaborative programs, or have cross-faculty or administrative appointments, the Head provides secure access to all applicant's files to, and seeks advice in the form of signed, written comment from, the Program Director/Coordinator, Department Head or other senior administrator as appropriate;
  - d) under no circumstances will the Head disclose contents of letters solicited from referees.
- e) [Guidelines must] specify the process by which the Head solicits advice. This process may involve conducting interviews, s5(lv)9s adnoss-

Procedures for Tenure

Department of History





## Procedures for Tenure

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

The Head seeks the advice and recommendation of members of the Department of Psychology through

## Procedures for Tenure

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

- 1.

Prior to submission of recommendations to the Faculty Promotions Committee, the Heads of the



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

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

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

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

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

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

DEPARTMENT OF PSYCHOLOGY
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Department Guidelines for the Performance Review Committee (PRC)  
 Written to comply to APT Manual, clause 6.2.11

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

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

- a) The process is applied consistently to all faculty eligible for increments or promotions.
- b) Members of the committee are elected through a secret ballot of all full-time Board appointees.
- c) When the case of a member of the committee is considered, that member leaves the room and is not permitted to provide additional information beyond that provided by all other faculty.
- d) In the case of increments, no additional advice is solicited. In the case of promotions to associate and tenure decisions, a meeting of all tenured faculty provides advice to CAPI. In the case of promotion to full professor, a meeting of all professors provides such advice.
- e) Since 40 percent of Board appointees in this Department are now women, our election process has invariably produced a gender-balanced committee.
- f)