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1. INTRODUCTION

1.1 General Philosophy regarding Appointment, Promotion and Tenure

1.1.1 The Haskayne School of Business appoints, promotes and retains individuals who improve the practice of management and lead through excellence in research and teaching. Quality research and scholarship are fundamental to our contribution to our community, therefore we promote, support and reward research activities that meet rigorous peer-reviewed standards. We create an engaging and rigorous learning environment based on the dissemination of the latest advances in knowledge to develop effective and ethically responsible management leaders. All faculty members contribute to the scholarly mission of the School, to its essential teaching role, and to the service needs of the School and University in ways congruent with their rank, abilities and interests.

1.1.2 The School's strategic plan should guide the interpretation and evaluation of these guidelines.

1.2 Use of Policies and Procedures

1.2.1 The policies of the Haskayne School of Business are intended to be consistent with the policies of the University of Calgary. This document is designed to help the Haskayne School of Business implement the University APT Manual within this School. In the event that a policy issue is not covered in this document, University policy as set forth in APT will apply. In the event of inadvertent conflicts between The School's and University Policy, University policy shall take precedence.

1.2.2 The policies outlined in this document have been developed to serve as a guideline for persons seeking appointment or promotion, as well as those charged with the responsibility of recommending such appointments or promotions.

1.2.3 Assessments of tenure and promotion are processes independent from the annual merit review process. Favourable or unfavourable annual merit decisions do not necessarily predict the outcome of appointment, promotion, and tenure decisions.

1.2.4 The various criteria appropriate to each rank or appointment should be regarded as minimum standards. It should be understood, however, that meeting these minimum standards does not automatically ensure that an individual will be recommended for the rank or appointment sought. In particular, tenure is conferred only after careful consideration of the credentials of the individual in relationship to the criteria prescribed in this document.

1.3 Implementation Date

These policies and procedures will take effect immediately after they have been approved by the Haskayne School of Business Council and by the Provost and Vice-President (Academic).

2. CLASSES OF ACADEMIC STAFF APPOINTMENT

These are described in Section 2 of APT

3. CRITERIA FOR APPOINTMENT, PROMOTION AND TENURE

3.1 University Criteria

University Criteria are given in Section 3 of APT

3.2 The School's Criteria

3.2.1 Relative Importance of Criteria

c) provide evidence of past and/or potential excellence in scholarship appropriate to the mission and goals of the Haskayne School of Business. Such evidence will normally take the form of:

- (i) a statement of the individual's primary area of scholarly interest and anticipated scholarly activities for the next year;
- (ii) a presentation to Faculty members of scholarly accomplishments of the individual;
- (iii) written scholarly works of the individual;
- (iv) presentations made by the individual to an academic or professional group in the field of scholarly interest of the individual; and,
- (v) any other evidence the individual may deem relevant.

.2 Individuals appointed for an initial term of four (4) years will be considered for a renewal of the initial term appointment in their third year. Renewals will be for a period of two (2) years. Renewal decisions will be based on a critical assessment of the past contributions and future potential of the individual in order to determine whether or not the individual has a reasonable chance of obtaining an appointment "with tenure"

.3 The granting of a renewal of an initial term appointment indicates that there is a reasonable probability that the individual will be able to apply successfully for an appointment "with tenure" at a later date. However, in itself a renewal is neither a guarantee nor evidence of satisfactory performance for the purpose of the decision regarding appointment "with tenure".

3.2.5 Associate Professor: The School's Criteria for Appointment and Promotion

.1 For appointment or promotion to the rank of Associate Professor to dednd futur

institution, it is expected that the individual will

significantly greater than that required for appointment or promotion to the rank of Associate Professor. The specific evidence required will take the form of:

- (i) a superior record of publication in recognised, refereed journals of management or related fields;
 - (ii) a superior record of presentations to academic or professional groups;
 - (iii) appointments or positions which indicate that the individual is recognised by the scholarly community as a leader in the field. Such evidence might include, but is not restricted to, appointments on editorial review/advisory boards of recognised journals, executive positions in scholarly associations and awards of academic distinction;
 - (iv) research grants and contracts;
 - (v) evidence from informed peers within and without the University. This will involve a minimum of three (3) external references from leading scholars or other outstanding individuals attesting that the individual in question is, in their opinion, a distinguished scholar and worthy of promotion to the rank of professor; unless inappropriate, the referees should include eminent Canadian scholars; and,
 - (vi) any other evidence that the individual may deem relevant. In this regard, such scholarly works as books, research monographs, and refereed cases will be of particular interest.
- b) provide evidence of continued teaching effectiveness. Such evidence will take the form of:
- (i) complete evaluations of teaching effectiveness for all courses taught as part of their assigned load during the last five years at the University of Calgary or elsewhere;
 - (ii) in the case of individuals appointed from another institution, it is expected that the individual will furnish past teaching evaluations and letters of reference;
 - (iii) teaching materials developed wholly or partially by the individual. Such materials might include, but are not restricted to case studies, computer simulations, web-based instructional materials, textbooks and teaching notes; and,
 - (iv) any other evidence the individual may deem relevant.
- c) provide evidence that the individual is an effective servitor

and that he/she is likely to continue to make meaningful contributions to the School, the University of Calgary and the community.

- .2 Providing information based on the list of requirements in section 3.2.6 is intended to help the external reviewers and the members of the faculty's and University's Promotion Committees determine whether the applicant has met the APT standard that "in the opinion of colleagues, within the University and beyond, [he or she is] outstanding in their discipline." Whether the applicant achieves promotion is based on how other scholars, internal and external, assess the evidence.
- .3 Individuals appointed to the rank of Professor who join the Haskayne School of Business from another institution may be offered an appointment "with tenure" upon joining the School. In other instances such individuals will be offered a four year initial term contract. During this period, they may be considered for an appointment "with tenure".

3.2.7 For an appointment "with tenure" at the rank of Instructor or Senior Instructor in the Haskayne School of Business, the individual will:

- .1 provide evidence of past teaching effectiveness and innovation. This evidence is an essential requirement for appointment "with tenure". Such evidence will take the form of:
 - (a) complete evaluations (all questions on the USRI forms) of teaching effectiveness for all courses taught as part of their assigned load in the Haskayne School of Business. Appointment "with tenure" will not be considered for persons supplying complete evaluations for less than a two-year period. Teaching evaluations must show a pattern of sustained excellence.
 - (b) a dossier detailing other relevant aspects of their teaching performance, including, but not limited to: a description of innovations in content, delivery and/or pedagogy and evidence of the effectiveness of these innovations; a summary of teaching-related duties such as course design or redesign, multi-section coordination, curriculum development, etc.; and teaching awards from the School, University or profession. The candidate may also discuss the teaching context, including any constraints imposed by the assignment of duties.
 - (c) where requested by either the candidate or the Haskayne School of Business, two or more separate written reports from adjudicators who have observed the candidate's teaching in the classroom or his/her public presentation of a lesson plan with documentation of goals and objectives.

If such reports are requested by either the candidate or the Haskayne School of Business, the adjudicators shall be chosen by the Associate Dean (Research). One adjudicator shall be either an Area Chair or Department or Program Head, and the other(s) shall be chosen from a list of at least three University of Calgary colleagues proposed by the candidate.

(d) any other evidence the individual may deem relevant.

.2 provide evidence that the individual has developed a coherent program of scholarship to retain currency in the field and is likely to continue to pursue such a program. Such evidence will take the form of meeting or exceeding each of the following three requirements:

(a) a record of peer-reviewed publication in the previous five years. Both mainstream management journals and those focused on management education and teaching will be considered appropriate in meeting this requirement; it is explicitly recognized that such peer-reviewed publications may include cases, teaching notes and other forms of publication appropriate to the teaching focus of this career stream. Given the key role of dissemination of knowledge in our mission, authorship or co-authorship of a textbook published by a reputable, arm's-length, established publisher and widely used outside the Haskayne School of Business will also be considered eligible in meeting this requirement.

(b) evidence of attendance at a minimum of one management- or teaching-related conference or workshop in the previous three years;

(c) other activities such as unpublished cases, research grants, publications in professional newsletters or similar publications, contributions to textbooks, training manuals for professions or accrediting bodies, teaching aids to accompany textbooks, etc. Any other evidence the individual may deem relevant to scholarship may also be submitted.

.3 provide evidence that the individual is an effective servitor and that he/she is likely to continue to make meaningful contributions to the School and the University. In the case of Senior Instructors this will normally include service in a senior administrative or strategic role or an equivalent portfolio of service activities.

3.2.8 For an appointment "with tenure" at the rank of Assistant Professor,

Associate Professor, or Professor in the Haskayne School of Business, the individual will:

- .1 provide evidence of past teaching effectiveness. This evidence is an essential requirement for an appointment "with tenure". Such evidence will take the form of:
 - (a) complete evaluations of teaching effectiveness for all courses taught as part of their assigned load in the Haskayne School of Business. Appointment "with tenure" will not be considered for persons supplying complete evaluations for less than a two-year period;
 - (b) teaching materials developed wholly or partially by the individual. Such materials might include, but are not restricted to, case studies, computer simulations, web-based instructional materials, textbooks and teaching notes; and,
 - (c) any other evidence the individual may deem relevant.

- .2 provide evidence that the individual has (1) developed a coherent program of research that will lead to meaningful contributions to the knowledge, understanding, and practice of management, (2) that significant progress has been made in the execution of that program, and (3) that he/she is likely to continue to make meaningful contributions to his/her field. Generally, it is expected that evidence of such scholarship will take the form of:
 - (a) publications in recognised refereed journals of management or related fields;
 - (b) presentations to academic or professional groups;
 - (c) research grants or contracts;
 - (d) evidence from informed peers which must include at least three referees external to the University of Calgary; and,
 - (e) any other evidence the individual may deem relevant. In this regard, working papers and manuscripts submitted for publication will be of particular interest.

- .3 Provide evidence that the individual is an effective servitor and that he/she is likely to continue to make meaningful contributions to the School, the University and community.

3.2.9 In evaluating the research records for appointments with tenure of Associate and Full professors who have previously taught at other universities, the normal expectation will be that at least one journal article and two paper presentations will have been prepared and accepted while at The University of Calgary. This however, should not be construed as a minimum career performance necessary for tenure.

- 3.2.10 Tenure may be granted upon appointment provided it is so recommended by the Academic Appointment Review Committee or by an Academic Selection Committee after specifically applying the appropriate criteria.

3.3 Denial of Promotion to Associate or Full Professor

When the University's General Promotions Committee is likely to recommend a denial of promotion to Associate or Full Professor, the applicant and the Dean shall be given one week to respond to the Chair of GPC and invited to discuss the original recommendation (GPC 2.7.1)

4. PROCEDURES FOR SELECTION AND APPOINTMENT

Section 4 of the APT Manual on "Procedures for Selection and Appointment" applies. In addition, the Haskayne School of Business employs the following procedures.

4.1 Selection Committees in the Haskayne School of Business

- 4.1.1 Each Area (defined as all Continuing, Limited Term, and Contingent Term academic appointees assigned to a group representing a designated academic discipline within the School) has its own selection committee. Only continuing, limited term, and contingent term appointees may serve on selection committees. The Area's Chair or delegate is the Chair of this selection committee. This selection committee reviews all applicants based on the Area's and School's needs.
- 4.1.2 The Committee is responsible for selecting two outside, voting representatives to sit on this committee. They must be full-time, continuing academic appointees. One must be a faculty member at The University of Calgary who is not in the Haskayne School of Business. The second must be from an Area in the Haskayne School of Business other than the area involved. It is up to each Area to notify the Dean's Office who these representatives are by September 1 of each year. It is the responsibility of the Area Chair or the Chair of the Area Recruiting Committee to notify the external members whenever a recruiting meeting is held in the Area. The external members should be involved as soon as the Area is authorised to recruit. Typically, this will be at the first meeting of the Selection Committee.
- 4.1.3 So as to ensure the opportunities for other Areas to have input into an individual Area's selection process, each Area Chair must notify the other Area Chairs as well as the Associate Deans of their Selection Committee meetings. They must be invited to attend selection committee meetings but they may not vote.
- 4.1.4 If the Selection Committee is not the whole Area, the Area must meet

and decide what recommendation is to be carried forward to the Dean's Office. Voting is restricted to faculty on continuing, limited term, and contingent term academic appointments.

- 4.1.5 Both genders shall be represented on the Selection Committee.
- 4.1.6 A quorum at all Selection Committee meetings shall first, be a simple majority of all committee members and second, a majority of continuing academic appointees from the Area among those in attendance at a meeting.
- 4.1.7 All members of the Selection Committee and the Area will be given a copy of these guidelines prior to the commencement of the recruitment and selection process.

4.2 Recruitment and Selection Procedures

Given that the Haskayne School of Business is a large non-departmentalised School, it is difficult to have a single selection committee review all applicants. Hence, the following procedure is followed.

- 4.2.1 The recruitment of potential appointees is the collective responsibility of all members of the Haskayne School of Business. It is expected that recruiting will be actively pursued by Area Chairs and the Office of the Dean in accordance with a School Staffing Plan. The Staffing Plan is developed by the Vice Dean based on The School's needs and priorities. It is subsequently approved by the Dean.
- 4.2.2 The Selection Committee for each area authorised by the Dean to recruit develops a short list of candidates to be invited for an interview.
- 4.2.3 When candidates have been interviewed and the Area has determined which candidate(s) it wishes to recommend to the Dean for appointment, the Area Chair will communicate this to the Dean's Office. In this communication, the Area Chair will also indicate if the external representative has been present at all recruiting selection meetings and if not what procedures were taken to ensure that all procedures were fair.
- 4.2.4 It is the external member's responsibility to indicate to the Dean's Office if he/she feels there were any incorrect or unfair procedures.
- 4.2.5 The Selection Committee is responsible for the solicitation of confidential written references (normally three are required) for all short-listed candidates commenting on factors relevant to the position. These must be current, and directed to the Chair of the Selection Committee or to an appropriate member of the Administration of the School.

- 4.3.3 The Committee used in the Expedited Spousal Hiring Process shall be the Academic Selection Committee of the Destination Area, as established in Section 4.1 of this manual, with the addition of a non-voting Faculty Association representative who shall be required for quorum.
- 4.3.4 The Dean shall notify all Committee members of the projected timing of the process and shall supply each of them with copies of these procedures as outlined in this manual and University APT. This memo will be accompanied by a CV provided by the Secondary Spouse.

recommendation of the individual's Area Chair. No outside referees will be consulted.

- .1 In the case where an Assistant Professor is requesting a renewal, and the Area Chair is supportive, the Associate Dean (Research), with the concurrence of the applicant, may directly forward a positive recommendation to the Dean.

5.1.2 In every case relating to an appointment "with tenure", the Associate Dean (Research), serving as the Head, shall provide a recommendation to the Dean which shall be based on the following:

- .1 a confidential recommendation from a subcommittee of three members of the Haskayne School of Business who have assessed the quality of teaching, research and service provided by the individual. The subcommittee shall be comprised of the Area Chair plus two other senior members of faculty, at least one of whom must be from outside the individual's Area. The subcommittee for each individual applicant is appointed by the Associate Dean (Research) in consultation with the individual's Area Chair; and,
- .2 signed, written advice from a minimum of three (3) outside referees within the discipline as specified in section 6.3. All letters of advice will be maintained in the applicant's tenure file and are confidential to the Academic Appointment Review Committee.
- .3 any advice obtained from tenured staff of the School and tenured staff outside the School who have direct knowledge of the applicant's work. The Associate Dean (Research) shall solicit written advice about the applicant from the tenured staff of the School and shall make the applicant's c.v. and relevant research/publication materials available for inspection for a period of no less than two weeks to everyone whose advice is solicited. The applicant will have an opportunity to suggest who outside the School should be consulted for written advice in addition to any solicitation initiated by the Associate Dean (Research). The Associate Dean (Research) will provide the

assessment and recommendation to the Dean, who shall forward it to the Academic Appointment Review Committee.

- 5.2 The Academic Appointment Review Committee of the Haskayne School of Business is composed of:

5.3 Responsibilities of the Academic Appointment Review Committee

- 5.3.1 The Academic Appointment Review Committee is advisory to the Dean.
- 5.3.2 In every case relating to an appointment "with tenure" or renewal of an appointment as an Associate Professor or Professor, the Dean shall forward the recommendation of the Associate Dean (Research) to the Academic Appointment Review Committee for advice.
- 5.3.3 When an Assistant Professor has been recommended for a two year renewal of an Initial Term appointment by the Associate Dean (Research), the Dean, if the academic appointee concurs, may forward this recommendation to the Provost and Vice-President (Academic) without reference to the Academic Appointment Review Committee (APT 5.6.10)
- 5.3.4 Whenever it appears that the Academic Appointment Review Committee is likely to make a recommendation which is less favourable than the recommendation sought by the individual, the Chair shall call a recess and shall inform the individual in writing, with a copy to members of the Academic Appointment Review Committee, of the deficiencies identified by the Committee, including the substance of adverse comments made by the referees. (APT 5.7.5.5)
- 5.3.5 The individual and the Associate Dean (Research) shall have one week from receipt of the Chair's letter to respond in writing to the Chair. The academic appointee and the Associate Dean (Research) shall be invited to appear together before the Committee at the next meeting. (APT 5.7.5.6). Neither the Associate Dean (Research) nor the applicant shall be present during any of the deliberations of the Committee following these presentations.
- 5.3.6 An individual, in attendance with respect to consideration under the above section, may be accompanied by an advisor, who shall be a continuing member of the academic staff. At least one day prior to meeting with the Committee, the individual shall inform the Chair of the name of the advisor. (APT 5.7.5.7)
- 5.3.7 Section 5.7.6 of University APT governs the matter of dtshall havns.

b) the appointment be allowed to lapse on the termination date stipulated in the appointment.

.2 in the case of an academic appointee seeking appointment with tenure either:

- a) the appointment be continued, with tenure;
- b) the initial term appointment be extended for one year;
- c) the appointment be allowed to lapse on the termination date stipulated in the appointment.

5.3.8 A faculty member may apply for tenure no more than twice. In the event that an extension is offered rather than tenure, this reconsideration will be considered a second application. Individuals applying for early consideration who are not granted tenure but are granted continuation according to the normal schedule, will not be eligible for an extension

5.3.9 Upon receipt of the Committee's report and recommendation, the Dean shall make a recommendation as soon as possible and forward it to the President through the Provost and Vice-President (Academic) by September 1. The individual shall be notified in writing by the Dean of the recommendation of the Committee and the recommendation of the Dean by the same date. In the case of denial of an appointment "with tenure", the individual shall be informed in writing of the decision and shall be provided with specific reasons including the essence of any critical comments provided by external referees.

5.4 Further information on appointment with tenure is available in the APT Manual.

5.5 Appeals

5.5.1 The individual shall have the right to appeal any recommendation of the Dean to the President provided he/she sends his/her appeal and the grounds thereof in writing to reach the President by September 15. The hearing of an appeal from a recommendation of the Dean is a delegable function of the President. The Appointments Appeal Committee must make a decision on the substance of the case and so advise the President. The result of the appeal shall be communicated to the individual, the Dean, and the Head (if applicable) by November 15. (See APT Section 5.9.10).

6. ASSESSMENT AND PROMOTION

6.1 Composition of the Haskayne School of Business Promotion Committee

The HSBPC is a Dean's advisory committee composed of the following members:

- 6.1.1 The Dean of the School (Promotion Committee Chair) or delegate who shall not be the person performing the functions of the Head;
- 6.1.2 Four tenured academic appointees, nominated and elected by the Haskayne School of Business Council, at least one of whom must be from outside the School and none of whom may hold an administrative appointment in the Haskayne School of Business. Elected members shall serve two year terms and elections shall be staggered so that two members of the committee will be replaced each year;
- 6.1.3 Up to two tenured academic appointees appointed by the Dean;
- 6.1.4 An academic appointee selected by The University of Calgary Faculty Association, who shall be present as a participating but non-voting member of the Committee;
- 6.1.5 One tenured full professor and one alternate nominated and elected by the Haskayne School of Business Council, and one tenured full professor and one alternate appointed by the Dean. These members

Committee.

- 6.2.8 Once the President has made his/her decisions, he/she will instruct the Dean to inform individual faculty members of the decision. The decision of the President is final.
- 6.2.9 Promotions usually take effect on July 1.

6.3 Selecting Outside Referees

6.3.1 Referees external to the University are required for all tenure decisions at the rank of Assistant, Associate and Full Professor, and for promotion to Full Professor. Referees external to the School are required for all tenure decisions at the rank of Senior Instructor.

6.3.2 The Haskayne School of Business does not require outside referees for consideration of promotion from Assistant to Associate Professor or from Instructor to Senior Instructor.

6.3.3 Per APT 3.8.6, the School follows 6.10.1.a,i in the GPC Manual with the following additions:

.1 The Associate Dean (Research) prepares a list of possible names for the Dean consisting of:

- a) up to three names supplied by the candidate;
- b) three to five names supplied by the Area Chair;
- c) additional names, if needed, generated in consultation (as required) with others in the discipline;
- d) brief information regarding the suitability of each proposed referee.
- e) the candidate, and the Area Chair, each must briefly describe the relationship of the candidate or current and former members of the area at the Haskayne School to the suggested external reviewer. Every attempt must be made to avoid actual or perceived conflict of interest, and in disclosing any relationships that might affect the independence of the review process.

.2 The Dean may add additional names as appropriate;

.3 The Dean selects up to six names, not more than one of which may be from the candidate's list.

- a) A sufficient number of names on the resulting list are contacted for references.
- b) The specific assessment prepared by external referees shall be confidential to the Review Committee.

6.4 Merit Assessment Procedures

These are described in detail in Haskayne School of Business Guidelines for the Allocation of Merit Increments.

6.5 Assessment of Adjunct Professors

Adjunct professors at all ranks are offered letters of appointment that specify their duties and contain a limited term. Each such appointment will be reviewed prior to its expiry date to determine if the expectations of the original agreement have

been met and whether the current School and University environment warrants