

**University of Alberta**

**Faculty of Science**

**Procedures for  
Annual Review of Performance,  
Merit Increments,  
Evaluation of Probationary Appointments,  
Tenure Decisions, and  
Application for Promotion to the Rank of Professor**

Approved by

THE FACULTY OF SCIENCE Faculty Council

21 May 2020

20 May 2021

26 May 2011

24 May 2005

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## 1. Introduction

This document is to be used in conjunction with Schedule A to the *Common Agreement between the Governors of the University of Alberta and the Association of the Academic Staff of the University of Alberta, July 1 2018 – June 30, 2020*, hereafter referred to as '[Schedule A](#)<sup>1</sup>'.

In accordance with Articles A6.01 (d), A6.12.06, this document contains the Faculty of Science procedures to be followed for

- a faculty member's annual review of performance and awarding of merit increments;
- for evaluating the first and second probationary periods; and
- for making tenure and promotion decisions.

This document should be used in conjunction with Schedule A and the *Faculty of Science Criteria for Merit Increments, Tenure and Promotion* document.

This document was approved by the Faculty of Science Faculty Council on the 19th of May 2022 and a decision was also taken by Council to make the effective date of this document the 1st of July 2022, and will be used by FEC to evaluate work done during the July 2021 to June 2022 period.

## 2. Annual Review of Performance

The reporting period in the Faculty of Science is July 1 to June 30.

As per the Article A2.05, a faculty member shall submit each year an Annual Report on their responsibilities during the previous academic year. This report will serve as the basis of a performance review by FEC, which will decide on merit increments, actions to be taken at the end of probationary periods, tenure decisions, and applications for promotion to the rank of Professor.

In preparing a recommendation to FEC, each year the Department Chair shall review the annual report prepared by the faculty member. Each review shall include a meeting between the faculty member and the Department Chair, unless the faculty member is not available or refuses to meet (Article A6.13). After this review, the Chair shall complete a *Chair's Recommendation Form* for submission to FEC. If the faculty member is serving a probationary period, the Chair's *Recommendation Form* shall include both the Chair's review of the current year and the Chair's review of the entire probationary period (Article A6.14.2). A copy of the completed Chair's

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<sup>1</sup> Henceforth, all mentions to 'Articles' in this document are references to articles of Schedule A.

*Recommendation Form* must be given to the faculty member at the same time as it is submitted to the Dean.<sup>2</sup>

For faculty members serving a probationary period, the Department Chair shall also annually advise the faculty member in writing on progress towards tenure (Article A6.14.3).

The *Faculty of Science FEC Schedule of Events* document sets forth annually the specific deadlines associated with the submission of materials for each of the decisions described in the sections that follow.

The Dean shall update and distribute this document annually to Department Chairs no later than April 1st each year.

### **3. Merit Increments**

A merit increment means the basic unit by which a faculty member's salary is increased, where there is a recommendation to do so. In accordance with Article A6.09.1, each year the Department Chair shall recommend to the FEC whether the faculty member should receive merit increments based on their performance in the past year.

#### **A. Responsibilities of the faculty member**

As specified by departmental deadline, the faculty member must provide the following minimum documentation to the Department Chair:

- a) an annual report for the previous academic year, using the Faculty of Science Annual Report system and report template; and
- b) proofs of their accepted publications for the period under review.

#### **B. Responsibilities of the Department Chair**

Each year the Department Chair shall provide in writing to FEC, with a copy to the faculty member, an increment recommendation as per Article A6.14.1, based on the faculty member's responsibilities under Article A2 and to the standards of performance under Article A6.03. These standards are further detailed in the *Faculty of Science Criteria for Merit, Tenure, and Promotion*. The recommendation is made using the Chair's *Recommendation Form*. Guidelines for pro-rated increments based on the faculty member's effective date of appointment are specified in Articles A6.11.1 and A6.11.2.

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<sup>2</sup> In the Faculty of Science, the Dean may choose to delegate their responsibilities in faculty evaluation to the Vice Dean with appropriate notice to faculty members.

#### **4. End of First Probationary Period**

##### **A. Responsibilities of the Department Chair**

The Department Chair will determine the last year of a first probationary period, using the effective date of appointment and the definitions given in Article A5.02.2.

According to Article A5.03.1, in the last year of a first probationary appointment, and by the deadline specified in the *Science FEC Schedule of Events*, the Department Chair shall recommend in writing to the Dean, with a copy to the faculty member, one of the following:

- a) that a second probationary period be offered to the faculty member;
- b) that an appointment with tenure be offered to the faculty member; or
- c) that no further appointment be offered to the faculty member.

##### **B. Responsibilities of the Dean**

According to Article A5.03.2, on receipt of the Department Chair's recommendation, the Dean shall take one of the following steps:

- a) approve a recommendation that the faculty member be offered a second probationary period, which decision shall be final and binding;
- b) if the recommendation is for a second probationary period and if the Dean disagrees with such a recommendation, refer the recommendation to FEC for consideration;
- c) refer to FEC a recommendation that an appointment with tenure be offered to the faculty member; or
- d) refer to FEC a recommendation that no further appointment be offered to the faculty member.

#### **5. End of Second Probationary Period**

##### **A. Responsibilities of the Department Chair**

By the deadline specified in the *Science FEC Schedule of Events*, in the last year of a second probationary appointment, the Department Chair shall recommend in writing to FEC (Article A5.04.1), with a copy to the faculty member, one of the following:

- a) that an appointment with tenure be offered to the faculty member, in which case procedures under the Tenure section of this document shall apply;
- b) that no further appointment be offered to the faculty member; or

- c) that the second probationary period be extended by one year (but only if such an extension had not been approved for an earlier year by FEC or the General Appeals Committee).

## **B. Responsibilities of FEC**

On receipt of the Department Chair's recommendation, the FEC shall recommend one of the following:

- a) that an appointment with tenure be offered to the faculty member (in which case the procedures under the Tenure section of this document shall apply);
- b) that no further appointment be offered to the faculty member; or
- c) that the second probationary period be extended by one year (but only if such an extension had not been approved for an earlier year by FEC or the General Appeals Committee).

## **6. Tenure**

When a faculty member at the rank of Assistant Professor is granted tenure, the individual will receive the designation of Associate Professor in accordance with Article A6.12.2.

### **A. Responsibilities of the faculty member**

As specified by departmental deadline, the faculty member who is being considered for tenure must provide the following minimum documentation to the Department Chair:

- a) an up-to-date curriculum vitae including a complete publication list, current and expired funding, undergraduate and graduate student mentorship and supervision; internal and external service to the community and profession;
- b) a teaching statement;
- c) the names of at least six internationally recognized scholars who can serve as referees capable of judging their research activity; and
- d) the names of individuals, if any, who would not be acceptable to the applicant to act as a referee, including the reasons for non-acceptability.

### **B. Responsibilities of the Department Chair**

In preparation for a faculty member's tenure consideration, either in the last year of a probationary period or in an earlier year for special tenure considerations (Article A5.05.1), the Department Chair shall

- a) develop a confidential list of referees capable of judging the faculty member's research activity; this list will be derived from the faculty member's recommendations and those

- of tenured academic faculty members in the Department, and will not normally include individuals identified by the faculty member as not acceptable;
- b) write to a sufficient number of referees in order to obtain between four and six responses; faculty members are not advised as to which of the referees are being contacted for comments; if greater than six responses are received, all responses will be used;
  - c) invite tenured academic faculty members in the Department to review the documentation submitted by the faculty member, and to provide confidential written opinions as to the merits of the case;
  - d) meet with the faculty member to discuss the case;
  - e) assess the case for tenure, based upon the criteria provided in the *Faculty of Science Criteria for Merit Increments, Tenure and Promotion* document;
  - f) Inform the faculty member in writing, by the deadline specified in the *Science FEC Schedule of Events*, as to whether they intend to recommend tenure; and
  - g) arrange for the election of one tenured faculty member of the department to serve as an additional member of FEC to hear the case from the department; the elected representative(s) for tenure will not normally be direct collaborators of the faculty member.

If the Department Chair decides to recommend an appointment with tenure, they shall provide the tenure documentation (see [Appendix I - Tenure](#)) to the Dean by the deadline specified in the *Science FEC Schedule of Events* document.

If the Department Chair decides to recommend no further appointment, they shall provide all confidential academic evaluations of the work of the faculty member to the Dean by the deadline specified in the *Science FEC Schedule of Events*.

## **B. Responsibilities of the Dean**

If the Department Chair decides to recommend no further appointment or if FEC's preliminary decision is for no further appointment, the FEC Chair shall prepare a summary of the confidential material received and provide the faculty member and the Department Chair with a copy thereof by the date specified in the *Faculty of Science FEC Schedule of Events* document.

The summary prepared shall be in sufficient detail to enable the faculty member to know the specific ways in which the application failed to meet the criteria specified in the *Faculty of Science Criteria for Merit Increments, Tenure, and Promotion*.

## **7. Application for Promotion to the Rank of Professor**

### **A. Notification to Potential Applicants**

The Dean shall notify faculty members of their eligibility to make an application for promotion to the rank of Professor, on or before May 15th in the year in which they first become eligible to do so (see Article A6.12.3 (b)). There will be no subsequent notification.

On or before the relevant date specified in the *Science FEC Schedule of Events* document, the faculty member shall notify the Dean in writing of the intention to apply for promotion to the rank of Professor, with a cc to the Department Chair.

In accordance with Article A6.12.5, the Department Chair may inform a faculty member in writing that they

- (a) intend to recommend a multiple increment sufficient to bring the salary of the faculty member to the minimum of Professor or higher, thus making the faculty member eligible for promotion in a particular year, and
- (b) will support promotion at FEC.

Such notice shall be made to the faculty member by the deadline as per the *Science FEC Schedule of Events* the year in which the recommendation is to be made to FEC. At the same time, the Department Chair will send a copy of the written notice to the Dean.

### **B. Basis for Achieving Promotion**

For promotion to the rank of Professor, the Academic Faculty member must demonstrate a strong record of achievement in teaching, research, and service, including excellence in teaching and/or research, or exceptional service.

As described in Article A6.03.3 and detailed in the *Faculty of Science Criteria for Increments, Tenure, and Promotion* document, promotion to Professor can be justified in two distinct ways. In the first way, promotion is justified on the basis of excellence in research and/or teaching. This is the normal basis for promotion; it gives greater weight to research and teaching, in general, than to service. Alternatively, promotion is justified on the basis of exceptional service in the context of an Academic Leadership role. This basis for justifying promotion is to be used only in rare circumstances.

In both cases, the faculty member must demonstrate a strong record of achievement in research, teaching and service.



The procedure for applying for promotion is the same in both cases, except in the details of the number and qualifications of the referees.

### **C. Responsibilities of the faculty member**

The faculty member shall submit a letter of application for promotion to the rank of Professor to the Dean by the date specified in the *Science FEC Schedule of Events*. This letter must clearly state whether the basis of the application is excellence in research and teaching, or exceptional service in the context of an Academic Leadership role.

The following minimum documentation must be given to the Department Chair, along with a copy of the letter of application:

- a) an up-to-date curriculum vitae including a complete publication list, current and expired funding, undergraduate and graduate student mentorship and supervision; internal and external service to the community and profession;
- b) a teaching statement;
- c) the names of at least six internationally recognized scholars who can serve as referees capable of judging their research activity; and
- d) the names of individuals, if any, who would not be acceptable to the applicant to act as a referee, including the reasons for non-acceptability.

When promotion is justified on the basis of exceptional service, in addition to the above, the faculty member must also provide the names of at least six persons (not necessarily different from the above six names) who are best qualified to judge one or more of the following:

- a) the demanding nature of the service that is the basis for promotion;
- b) the exceptional quality of the service performed by the individual;
- c) the leadership demonstrated by the individual.

For each of (a)-(c), the list of names must include at least two people who are qualified to comment on that aspect of the application.

### **D. Responsibilities of the Department Chair**

The Department Chair shall:

- a) develop a confidential list of referees capable of judging the faculty member's research activity; this list will be derived from the applicant's recommendations and those of other departmental faculty members at the rank of Professor, and will not normally include individuals identified by the applicant as not acceptable;

- b) write to a sufficient number of referees in order to obtain between four and six responses; faculty members are not advised as to which of the referees are being contacted for comments; if greater than six responses are received, all responses will be used;
- c) when promotion is justified on the basis of exceptional service, in addition to the above, the Department Chair shall develop a confidential list of persons who are best qualified to judge one or more of the following:
  - a. the demanding nature of the service that is the basis for promotion,
  - b. the exceptional quality of the service performed by the individual, and
  - c. the leadership demonstrated by the individual;
- d) write to a sufficient number of these persons to ensure that for each of (a)-(c) at least two of the references received comment on that aspect of the application;
- e) invite faculty members in the Department, who are at the rank of Professor, to review the documentation submitted by the applicant (but excluding letters submitted by external referees?), and provide confidential opinions in writing as to the merits of the application;
- f) meet with the faculty member to discuss the application;
- g) assess the case for promotion, based upon the criteria provided in the *Faculty of Science Criteria for Merit Increments, Tenure and Promotion* document;
- h) inform the faculty member, in writing, by the deadline specified in the *Science FEC Schedule of Events*, as to whether they intend to support or oppose the application.

The Department Chair shall forward all material for the promotion application to FEC as part of material provided for the faculty member's annual review. The Department Chair shall inform the faculty member in writing of the decision to support or oppose the application at the FEC hearing, and include a copy of this decision as part of the materials submitted to FEC.

#### **E. Responsibilities of the Dean**

If the Department Chair decides to oppose the application or if FEC's preliminary decision is to deny promotion, the Dean shall prepare a summary of the confidential material received and provide the faculty member and Department Chair with a copy thereof as per the deadline specified in the *Science FEC Schedule of Events*. The summary statement so prepared shall be in sufficient detail to enable the faculty member to know the specific ways in which the application failed to meet the criteria specified in the *Faculty of Science Criteria for Merit Increments, Tenure, and Promotion*.

## **F. Continuation of the Application**

Where the Department Chair has decided to oppose the application, the faculty member may continue the application in accordance with Article A6.17.1. The Dean will submit to the FEC, on behalf of the applicant, the material submitted by the Department Chair (Appendix I – Promotion). The faculty member may submit additional information that is relevant to the application by the due date specified in the *Science FEC Schedule of Events*.

Where the faculty member requests reconsideration of a preliminary FEC decision (A6.19.1), they shall submit to the Dean, with a copy to the Department Chair, documentation as per Article A6.20.1.

## **G. Withdrawal of the Application**

The faculty member may withdraw their application for consideration of promotion at any time prior to the FEC meeting. The Department Chair will maintain a record of the names of external individuals who were asked to and who provided confidential assessments. Those confidential assessments will be destroyed.

## **8. Referees**

The referees selected for evaluating research for tenure and promotion “should not be from the same university as the applicant, should not have been a research supervisor or graduate student of the applicant within the past six years, should not have directly collaborated with the applicant within the past six years or have plans to collaborate in the immediate future, should not be an employee of a non-academic organization with which the applicant has had collaboration within the past six years and should not be in a potential conflict of interest (e.g., personal, financial)”<sup>3</sup>

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<sup>3</sup> Adopted from *NSERC Discovery Grants Peer Review Manual, 2019-2020*. Available at:  
[https://www.nserc-crsng.gc.ca/\\_doc/Reviewers-Examineurs/CompleteManual-ManualEvalComple\\_t\\_eng.pdf](https://www.nserc-crsng.gc.ca/_doc/Reviewers-Examineurs/CompleteManual-ManualEvalComple_t_eng.pdf).

## **Appendix I : Documents from the Department Chair**

### **A. Tenure**

The following must be submitted by the Chair to the Dean:

1. The faculty member's Annual Report
2. Chair's Recommendation Form
3. The Chair's Recommendation Summary Letter that includes an evaluation of the faculty member's research, teaching ability and service contributions
4. Sample of letter to external referees
5. List of external referees
6. Four to six confidential letters of reference from external referees relating to research evaluation
7. The faculty member's Curriculum vitae
8. The faculty member's teaching and research statements
9. Copies of the publications selected by applicant and sent to external reviewers

If appropriate, other documentation may be submitted.

### **B. Promotion**

When promotion is justified on the basis of excellence in research and/or teaching, the following must be submitted by the Chair to the Dean:

1. The faculty member's Annual Report
2. Chair's Recommendation Form
3. The Chair's Recommendation Summary Letter that includes an evaluation of the faculty member's research, teaching ability, and service contributions
4. Sample of letter to external referees
5. List of external referees
6. Four to six confidential letters of reference from external referees relating to research evaluation
7. The faculty member's Curriculum vitae
8. The faculty member's teaching and research statements
9. Publications selected by applicant and sent to external reviewers

If appropriate, other documentation may be submitted.

When promotion is justified on the basis of exceptional service, the following must be submitted to the Dean:

1. The faculty member's Annual Report
2. Chair's Recommendation Form
3. The Chair's Recommendation Summary Letter that includes an evaluation of the faculty member's historical record relating to research and teaching, and focus on "exceptional service"
4. Sample of letter to external referees
5. List of external referees
6. Four to six confidential letters received from external referees relating to research evaluation
7. Three to six confidential letters received from external referees relating to service contributions; at least two references received must comment on each of (a)-(c).
8. The faculty member's Curriculum vitae
9. The faculty member's teaching and research statements

If appropriate, other documentation may be submitted.