

**University of Alberta  
Faculty of Science**

**Standards of Performance and Procedures for  
Merit Increments,  
Continuing Appointment, and  
Promotion for Faculty Service Officers (FSOs)**

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## 1. Introduction

The purpose of this document is to set out the standards of performance and evaluation procedures for Faculty Service Officers (FSOs) as required under Articles B6.01 and B6.03.2 of the *Collective Agreement between the Governors of the Board of the University of Alberta and the Association of the Academic Staff of the University of Alberta, July 1, 2018 – June 30, 2020 (Schedule B for FSOs)* (hereafter "[Schedule B](#)<sup>1</sup>").

The responsibilities of FSOs in the Faculty of Science are varied, but all support the Faculty's endeavors in teaching, research, and service. The terms of the appointment and job description shall outline the specific duties in teaching, research, and service (Article B2.01).

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 Article B2.03, an FSO shall submit each year an Annual Report on responsibilities during the previous academic year. This report will serve as the basis for recommendations by the Department Chair to FEC on merit increments, actions to be taken at the end of probationary periods, continuing appointment decisions, and applications for promotion. The format of the report is approved by the Science Faculty Council and shall be based on written job responsibilities of the position.

In preparing a recommendation to FEC, each year the Department Chair shall review the annual report prepared by the FSO. Each review shall include a meeting between the FSO and the Department Chair, unless the FSO is not available or refuses to meet (Article B6.13). A copy of the completed form must be given to the FSO at the same time as it is submitted to the Dean.

If the FSO is serving a probationary period, the Department Chair shall also annually advise the FSO in writing on their progress.

## 3. Standards of Performance for FSO Ranks

FSO performance will be evaluated with respect to the standards set out for each rank. For all ranks, professional, technical and leadership competencies and the ability to meet diverse demands in a timely and useful manner are of primary importance. If deemed necessary, persons outside the Faculty may be consulted with regard to assessing the competence of the FSO for merit increment, continuing appointment, and promotion decisions. Assessment of the

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

FSO's performance may be facilitated by formal requests for feedback from individuals with whom the FSO interacts as part of their job. If the FSO's responsibilities include supervision of staff, then the quality of supervision will be part of the performance evaluation.

#### **Faculty Service Officer I**

- 1.1 The FSO shall become familiar with new techniques, methodologies and approaches in the areas designated in the job description and remain current in their knowledge of these areas.
- 1.2 The FSO shall be competent and effective in carrying out the duties in their job description.
- 1.3 The FSO shall work effectively with their supervisor(s) in teaching, research, and/or service.

#### **Faculty Service Officer II**

In addition to the above,

- 2.1 The FSO shall effectively represent their Department<sup>2</sup> interests at Faculty and University levels.
- 2.2 The FSO shall provide effective supervision as required by their job description.

#### **Faculty Service Officer III**

In addition to the above,

- 3.1 The FSO shall provide effective enhancement of the learning/research/working environment.
- 3.2 The FSO shall contribute to effective liaison with University entities and external groups as required by their job description.
- 3.3 The FSO shall provide leadership in support of the Department's teaching, research and/or service activities and be capable of managing projects, including supervision of research assistants and other staff as required.

#### **Faculty Service Officer IV**

In addition to the above,

- 4.1 The FSO shall exercise independence of action and judgment consistent with participation in senior management.
- 4.2 The FSO shall provide substantive and meaningful advice to senior administrators regarding teaching, research, and/or service

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<sup>2</sup> "Department" is the umbrella term used to include units, divisions, or any entity that has a core user group.

4.3 The FSO shall perform a major role in maintaining and improving liaison with University entities and external groups, as required by their job description.

4.4 The FSO shall consistently demonstrate a high level of initiative and leadership.

### **3. Increments**

An increment means the basic unit by which the FSO 's salary is increased (Article 1.18), where there is a recommendation to do so.

In accordance with Articles B6.09.01 and B6.14.1, each year the Department Chair shall recommend in writing to FEC, with a copy to the FSO, an increment recommendation based on the FSO's annual report, the FSO's responsibilities under Article B2.02, the standards of performance under Article B6.03, and the standards set forth in this document. The recommendation is made using the *Chair's Recommendation Form*.

If the FSO is in the last year of a probationary period, the Department Chair's review shall cover the entire probationary period (B6.14.2), as well as covering the current year under review.

"Merit" will come under more detailed scrutiny as progress through the ranks occurs; and in the course of the progression, emphasis on the evaluation of performance will shift from a level of competent service to demonstrated initiative and leadership in establishing and executing their duties and serving Departmental needs. The standards of performance shall be higher in the higher ranks and as progress through the ranks occurs (B6.03.6).

### **4. Continuing Appointment**

In the last year of the FSO's probationary appointment, and by the deadline specified in the *Science FEC Schedule of Events*, the Dean shall recommend to FEC in writing, with a copy to the FSO, either

- a) that a Continuing Appointment be offered to the FSO, or
- b) that no further appointment be offered to the FSO.

The FEC shall consider a recommendation under Article B5.03.1 and shall decide either

- a) that a Continuing Appointment be offered to the FSO, or
- b) that no further appointment be offered to the FSO.

A decision to award a continuing appointment is prospective and is based on the FSO 's record of performance during the entire probationary period. The FSO shall have demonstrated capability in carrying out responsibilities and the potential for continued high performance in meeting Department requirements in teaching, research and/or service. The recommendation of the Department Chair under Article B12.07 shall cover the entire probationary period, including the year under review. As per Article B6.12.5 "Upon receipt of the application and documentation under Article B6.12.2, the Department Chair shall decide either to support the

application or to oppose the application at the FEC hearing and shall so advise the FSO Member through the Department Chair's submission to FEC under Article B6.14.1.

## **5. Promotion**

An FSO shall be first eligible to apply for promotion when their current salary is within one increment of, or is higher than, the salary minimum of the next rank (B6.12.1). The Dean shall notify the FSO of their eligibility to make an application for promotion on or before May 15th (see *Science FEC Schedule of Events*) in the year in which they first become eligible to do so. There will be no subsequent notification.

When promotion to a higher rank is under consideration, the FSO's entire career will be carefully reviewed and evaluated by FEC (Article B6.12.3). Promotion to the next higher rank requires strong performance in all dimensions of that rank and excellence in at least one dimension, and a demonstrated ability to sustain such performance after promotion.

Promotion to FSO IV additionally requires demonstrated capacity to effectively contribute in senior management decision making on issues related to teaching, research and/or service in the Department. Appraisal of this capacity will include assessment of the FSO's judgment and leadership qualities, and of the future benefit to the Department from having the FSO participate at a more senior management level.

**Attachment 1  
PROCEDURES  
for  
PROMOTION and GRANTING CONTINUING APPOINTMENT  
for  
FACULTY SERVICE OFFICERS**

The procedures set out below detail the respective roles and responsibilities of the FSO, their Department Chair, and the Chair of the Faculty Evaluation Committee, as well as the deadlines and timing for the submission of materials and notification of decisions. Specific dates for deadlines are updated each year and provided in the *Science FEC Schedule of Events* document.

**A. Documentation**

The FSO will provide annually the following to the Department Chair:

- a) Annual Report
- b) Reports and other material prepared as part of their work
- c) Publications, conference presentations, technical reports, creative works

and, when being considered for Continuing Appointment and/or Promotion,

- d) Up-to-date curriculum vitae
- e) List of potential assessors (see Section B below)
- f) Any other material deemed relevant

The Department Chair will provide annually the following to FEC:

- a) Current Position Description
- b) Annual Report of FSO
- c) Chair's Recommendation Form, which contains an evaluation summary and merit recommendation

and, when being considered for Continuing Appointment and/or Promotion

- d) Revised Position Description (if applicable)
- e) Statement of support or opposition of application for continuing appointment or promotion, including a statement of the FSO's overall contribution to the Department
- f) List of assessors (see Section B below)
- g) Written assessments of performance from internal assessors

- h) Written assessments of performance from external assessors

#### **B. Assessments for Continuing Appointment and Promotion**

The FSO shall submit to the Department Chair a list of 3-4 individuals who can attest to the quality of their work, of which at least two must be from the same department as the FSO under review (“internal assessors”) and at least one must be from outside the department (“external assessors”). The latter may be individuals within the University (but outside the department) or from the external community. The Department Chair shall add 3-4 other individuals to this list, with at least two being internal assessors and at least one being external.

Faculty members currently serving on FEC shall not be included on either list. Faculty members on either list must be tenured, and FSOs on either list must have a continuing appointment above the current rank of the FSO under review. From this pool of potential assessors, the Department Chair shall solicit written references from a sufficient number of individuals so that at least four references are received. References must be solicited from at least two of the individuals on the list submitted by the FSO and at least two of the individuals on the Chair’s list, and at least one reference must be solicited from an external assessor.

#### **C. Confidential Material**

In cases where the FSO has a right to contest or have their case reconsidered by FEC, the FEC Chair shall prepare a summary of the confidential material received and shall provide the FSO and the Department Chair with a copy at least ten days prior to the FEC hearing. For the specific deadline each year, refer to the Science FEC Schedule of Events.



Due Date	Action Required	Relevance
<b>April 1</b>	The annual calendar of the FSO deadlines for Faculty, FSO procedures is published	Faculty/FSO
<b>April</b>	The Chair of FEC notifies faculty members and FSOs (henceforth staff) of important milestones, ahead of this year's FEC meetings, including end of probationary periods, promotion eligibility, tenure eligibility, and continuing appointment eligibility.	Faculty/FSO
<b>May</b>	The staff member notifies their Department Chair and FEC Chair of their intent to apply ( <b>Application</b> ) for tenure, continuing appointment, or promotion.	Faculty standards (A) FSO Standards (S)
<b>August</b>	All staff members submit their Annual Report ( <b>AR</b> ) or their Sabbatical Reports ( <b>SabR</b> ) through the eFEC system.	Faculty Standards (4A) FSO Standards #2
	The Department Chair notifies the staff member and the FEC Chair of their recommendation on their Application.	Faculty Standards (4A) FSO Standards #2
<b>September</b>	If the Department Chair's recommendation on the staff member's Application is negative, a summary of the relevant confidential material and the Department Chair's Summary Recommendation Letter is due to the FEC Chair and staff member.	Faculty standards (F) FSO standards (C)
	If the staff member contests the Chair's negative recommendation, they notify the Chair of FEC (cc their Department Chair) of their intention to appear at FEC or submit documentation or both; relevant materials are also due at this time.	
	The Department Chair notifies the FEC chair of their recommendations and all supporting documents for all other Applications. Names of all tenure representatives are due at the same time.	
	The Department Chair notifies the staff member and the FEC Chair of their merit recommendation based on the staff member's AR.	
		Faculty standards FSO standards
<b>October</b>	In cases where increment and promotion recommendations that may be contested, the staff member notifies the FEC Chair and Department Chair indicating their intention to appear at FEC.	Faculty standards (F) FSO standards (B)
	Eligible staff members submit their applications for Sabbatical Leave to the FEC Chair.	
	The FEC Chair notifies staff members, in cases where FEC did not support a Chair's recommendation to award tenure or a continuing appointment.	Faculty standards (C)
	The staff member (a) notifies the FEC Chair and their Department Chair requesting reconsideration of their preliminary FEC tenure or continuing appointment decision, (b) the PRC Chair to request PRC review, for cases where the FEC did not support a Chair's recommendation to award tenure.	Faculty standards (F) FSO standards
	The Department Chair notifies the Vice Dean (cc to staff member) with their response (a) to the staff member's contested merit or promotion case submission, or (b) to the staff member's contested tenure or continuing appointment reconsideration submission.	
<b>November</b>	<b>Tenure/Continuing Appointment Meeting (1 day)</b> <b>FEC Meetings (4 days)</b>	
	(a) the FEC Chair and Department Chair requesting reconsideration of their preliminary FEC decision, and (b) PRC Chair to request PRC review of FEC Promotion decision.	Faculty standards (F) FSO standards
	In cases where the FEC did not support a Chair's recommendation for promotion, the FEC chair notifies the staff member with a summary of confidential material and the Chair's Summary Recommendation.	
<b>December</b>	If the case is reconsidered by FEC, then the staff member provides a statement and all related documents to the FEC chair and their department chair. If the case is reconsidered by FEC, then the Department Chair responds to the staff member's reconsideration case submission to the Vice Dean in reply (cc to staff member).	
<b>January</b>	<b>FEC Reconvenes</b>	
<b>July 1</b>	All merit, continuing appointment, tenure, and promotion decisions by FEC take effect	