University of Alberta

Faculty of Science

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

Approved by

Provost & Vice – President (Academic)
May 3, 2012

Science Faculty Evaluation Committee
February 22, 2012 (via email vote)

Consultation with FSO staff members was held
February 13, 2012

The complete text of the document entitled Standards of Performance and Procedures for Merit Increments, Continuing Appointment, and Promotion for Faculty Service Officers (FSOs) is available on the World Wide Web at
http://www.science.ualberta.ca/FacultyAndStaff/eFECAnnualReport.aspx#RelatedInformation
Table of Contents

Introduction.................................................................................................................................1

I... UNIVERSITY RESPONSIBILITIES.........................................................................................1
   A. Annual Report....................................................................................................................1

II... STANDARDS OF PERFORMANCE......................................................................................1

III... MERIT INCREMENTATION................................................................................................3

IV... CONTINUING APPOINTMENT ..........................................................................................3

V... PROMOTION.......................................................................................................................3

VI... SUPPLEMENTARY PROFESSIONAL ACTIVITY (SPA)....................................................3

VII... Appendix A......................................................................................................................4

Acknowledgement: This document has borrowed heavily from the corresponding document for the Faculty of Engineering (May 19, 2004).
Introduction

The responsibilities of the Faculty Service Officers (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. The purpose of this document is to set out the standards of performance and procedures as required under the FSO Agreement in clauses 13.03 and 13.29. As required by clause 13.05, the standards of performance will increase as a staff member moves through the ranks.

I. UNIVERSITY RESPONSIBILITIES

A. Annual Report

The Agreement (7.03) requires each staff member to “submit to the Chair an annual report on university responsibilities during the previous year.” The format of the report is approved by the Science Faculty Council.

II. STANDARDS OF PERFORMANCE for FSO Ranks

A Faculty Service Officer’s performance will be evaluated with respect to the standards set out for each rank. The criteria for competent performance are applied with increasing stringency as the experience and rank of a Faculty Service Officer increase. For all ranks, competence and the ability to meet diverse demands for support in a timely and useful manner are of primary importance including remaining current with technological changes in the areas designated in the job description. If deemed necessary, persons outside the Faculty may be consulted with regard to assessing the competence of the staff member for merit increment, continuing appointment, and promotion decisions. Assessment of the staff member’s performance may be facilitated by formal requests for feedback from individuals with whom the staff member interacts as part of their job. Supervision of staff may be required at any rank, and the quality of supervision will be part of the performance evaluation.

Faculty Service Officer I

1.1 The staff member shall become familiar with new techniques, methodologies and approaches in the areas designated in the job description and remain current in his/her knowledge of these areas.

1.2 The staff member shall be competent and effective in carrying out the duties in his/her job description.
1.3 The staff member shall work effectively with his/her supervisor(s) in teaching, research, and/or service.

**Faculty Service Officer II**

In addition to the above,...

2.1 The staff member shall effectively represent department* interests at Faculty and University levels.

2.2 The staff member shall provide effective supervision as required by his/her job description.

**Faculty Service Officer III**

In addition to the above,...

3.1 The staff member shall provide effective enhancement of the learning/research/working environment.

3.2 The staff member shall contribute to effective liaison with University entities and external groups as required by his/her job description.

3.3 The staff member 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 staff member shall exercise independence of action and judgment consistent with participation in senior management.

4.2 The staff member shall provide substantive and meaningful advice to senior administrators regarding teaching, research, and/or service.

4.3 The staff member shall perform a major role in maintaining and improving liaison with University entities and external groups, as required by his/her job description.

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

* “Department” is the umbrella term used to include units, divisions, or any entity that has a core user group.
III. MERIT INCREMENT

“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 his/her duties and serving Departmental needs.

IV. CONTINUING APPOINTMENT

A decision to award continuing appointment is prospective and is based on the staff member’s record of performance during the entire probationary period. The staff member 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 clause 12.07 shall cover the entire probationary period, including the year under review.

V. PROMOTION

When promotion to a higher rank is under consideration, the candidate’s entire career will be carefully reviewed and evaluated. 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.

VI. SUPPLEMENTARY PROFESSIONAL ACTIVITY

SPA includes consulting or contractual professional work performed by a staff member beyond the primary obligations to the University, including employment in any capacity by another employer such as paid teaching at another institution or pay received from another source during a sabbatical leave.

SPA during the reporting period shall be reported on the staff member’s annual report, and may be taken into account by FEC in the evaluation of performance for its decisions on annual merit increments, tenure, and promotion.

SPA can be regarded as meritorious to the extent that it represents professional development of the staff member or otherwise directly contributes to the university’s goals of having tangible positive impact on society. Refer to the Faculty of Science “Guidelines for Supplementary Professional Activities and University Industry Relationship” document for reporting and procedural details related to SPA.
VII. APPENDIX A

Deadlines and Procedures for Merit, Continuing Appointment and Promotion for Faculty Service Officers (FSOs)

FACULTY OF SCIENCE

The procedures set out below detail the respective roles and responsibilities of the Faculty Service Officer (FSO), his/her 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 will be determined each year.

1. Documentation

1.1. To be provided annually by the Faculty Service Officer to the Department Chair
   · Annual Report
   · Reports and other material prepared as part of his/her work
   · Publications, conference presentations, technical reports, creative works
   And, when being considered for Continuing Appointment and/or Promotion
   · Up-to-date curriculum vitae
   · List of potential assessors (see section 2 below)
   · Any other material deemed relevant

1.2. To be provided annually by the Department Chair to the FEC Chair
   · Current Position Description
   · Annual Report of staff member
   · Chair’s Evaluation Summary and merit recommendation (i.e. Chair’s Recommendation Form)
   And, when being considered for Continuing Appointment and/or Promotion
   · Revised Position Description (if applicable)
   · Statement of support or opposition of application for continuing appointment or promotion including a statement of the FSO’s overall contribution to the Department
   · List of assessors (see section 2 below)
   · Written assessments of performance from internal assessors
   · Written assessments of performance from external assessors

2. 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 his/her 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.

3. **Confidential Material**

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

4. **Timelines for Submission of Materials** *(Dates are approximate. Check the Science website under *Science FEC Schedule of Events for Staff* for specific dates determined each year.)*

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>mid-March</td>
<td>FSO notifies Department Chair and FEC Chair, in writing, of intention to apply for promotion.</td>
</tr>
<tr>
<td>Date set by</td>
<td>FSO submits application and supporting materials to Department Chair, including list of potential assessors at this time.</td>
</tr>
<tr>
<td>Dept Chair</td>
<td>FSO submits application and supporting materials to Department Chair, including list of potential assessors at this time.</td>
</tr>
<tr>
<td>early October</td>
<td>Department Chair notifies FSO, with a cc to the Vice Dean, of support or opposition of application for promotion or continuing appointment. If the Chair opposes an application for promotion or recommends no further appointment, all confidential material and <em>Chair’s Recommendation Summary</em> letter are also due at this time to the Vice Dean.</td>
</tr>
<tr>
<td>early November</td>
<td>All annual reports, chairs’ recommendations and all supporting documents are due in Vice Dean’s Office.</td>
</tr>
</tbody>
</table>

_FEC meets in early December. FEC reconsiderations are in mid-January of the year following._