

**University of Alberta**

**Faculty of Science**

**Procedures for Merit Increments,  
End of First Probationary Appointments,  
Tenure and  
Application for Promotion to the Rank of Professor**

**Approved by**

**THE FACULTY OF SCIENCE**

**Faculty Council**

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The complete text of the document entitled  
*Procedures for Merit Increments, End of First Probationary Appointments, Tenure and  
Application for Promotion to the Rank of Professor*  
is available on the World Wide Web at

<http://www.science.ualberta.ca/FacultyAndStaff/eFECAnnualReport.aspx#RelatedInformation>

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## General Comments

In accordance with the *Faculty Agreement*, this document contains the procedures to be followed for the granting of merit increments, the second probationary period, tenure and promotion, and should be used in conjunction with Articles 12 and 13 of the *Faculty Agreement*, as well as the *Faculty of Science Criteria for Merit Increments, Tenure and Promotion* document.

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

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### I. Annual Review of Performance

In preparing a recommendation to FEC, each year the Department Chair shall review the annual report to assess performance of the staff member. Each review shall include a meeting between the staff member and the Department Chair, unless the staff member is not available or refuses to meet (clause 13.34). After such a review the Chair shall complete a Chair's Recommendation Form for submission to FEC. If the staff member is serving a probationary period, the Chair's Recommendation Form shall include the staff member's progress (clause 13.37). A copy of the completed form must be given to the staff member at the same time as it is submitted to the Dean.

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### II. Merit Increments

#### A. Responsibilities of the Staff Member

As per clause 7.10 of the *Faculty Agreement*, a staff member shall submit each year an Annual Report on responsibilities during the previous academic year.

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

- annual report for the previous academic year; and
- proof of accepted publications for the period under review

#### B. Responsibilities of the Department Chair

Each year the Department Chair shall recommend in writing to the Dean, with a copy to the staff member, an increment recommendation as per clause 13.23 of the *Faculty Agreement*. Refer to the *Science FEC Schedule of Events* document for the specific deadline each year.

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## III. End of First Probationary Appointment

### A. Responsibilities of the Department Chair

By the deadline specified in the *Science FEC Schedule of Events*, in the last year of a first probationary appointment, the Department Chair shall recommend in writing to the Dean one of the following:

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

### B. Responsibilities of the Dean:

On receipt of the Department Chair's recommendation, the Dean shall take one of the following steps:

- a) approve a recommendation that the staff member be offered a second probationary appointment;
  - b) if the recommendation is for a second probationary appointment and if the Dean disagrees with such recommendation, submit the recommendation to FEC for consideration;
  - c) refer to FEC a recommendation that an appointment with tenure be offered to the staff member (in this case the procedures under the Tenure section of this document shall apply);
  - d) refer to FEC a recommendation that no further appointment be offered to the staff member (in this case the procedures under the Tenure section of this document shall apply).
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## IV. Tenure

When an academic staff member at the rank of Assistant Professor is granted tenure, the individual will receive the designation of Associate Professor in accordance with clause 12.05 of the *Faculty Agreement*.

### A. Responsibilities of the Staff Member

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

- an up-to-date curriculum vitae including a complete publication list;
- teaching statement;
- the names of at least six (6) internationally

recognized scholars who can serve as referees capable of judging his/her research activity; and

- 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 the last year of a second probationary appointment or for early tenure recommendation (clause 12.17 “Special Recommendation for tenure”), the Department Chair shall:

- Develop a confidential list of referees capable of judging the staff member's research activity. This list will be derived from the staff member's recommendations and those of other staff members, as well as his/her own, and will not normally include individuals identified by the staff member as not acceptable.
- Write to a sufficient number of referees in order to obtain between four and six responses. Staff members are not advised as to which of the referees are being contacted for comments.
- Invite staff members in the Department, who are tenured, to review the documentation submitted by the staff member and provide confidential opinions as to the merits of the case.
- Arrange for the election of one tenured staff member of the department to serve as an additional member of FEC to hear the case or cases from the department. Elected representatives for tenure should not normally be direct collaborators of the staff member.
- Meet with the staff member to discuss the case.
- Assess the case for tenure, based upon the criteria provided in the Faculty of Science document *Criteria for Merit Increments, Tenure and Promotion*.
- Inform the staff member, in writing, by the deadline specified in the *Science FEC Schedule of Events*, as to whether he/she intends to recommend tenure.
  - a) If the Department Chair decides to recommend an appointment with tenure or a one-year extension to the second probationary period, the Department Chair shall provide the tenure documentation (see Appendix I) to the Chair of FEC by the deadline specified in the *Science FEC Schedule of Events* document.
  - b) If the Department Chair decides to recommend no further appointment, the Department Chair shall provide all confidential academic evaluations of the

work of the staff member to the Dean by the deadline specified in the *Science FEC Schedule of Events*.

## **C. Responsibilities of the Dean**

Where the Department Chair decides to recommend no further appointment or FEC's preliminary decision is for no further appointment, the Dean shall prepare a summary of the confidential material received and provide the staff member and Department Chair with a copy thereof by the date specified in the *Science FEC Schedule of Events* document. The summary statement prepared shall be in sufficient detail to enable the staff member to know the case he or she has to meet.

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

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

The Dean shall notify staff members, on or before May 15th, in the year in which they first become eligible to make an application for consideration for promotion to the rank of Professor under clause 13.28 of the *Faculty Agreement*. At the same time, the Department Chair will receive a copy of the notice.

As a result of clause 13.30 of the *Faculty Agreement*, the Department Chair may inform a staff member that he/she intends to recommend a multiple increment sufficient to bring the salary of the staff member to the minimum of professor or higher and that the Department Chair will support promotion. Such notice shall be made to the staff 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 Dean will receive a copy of the notice.

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

As described in detail in the Faculty of Science document *Criteria for Merit Increments, Tenure and Promotion*, 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. This basis for justifying promotion is to be used only in rare circumstances.

In both cases, the staff 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 Staff Member

A letter of application, or conditional application, for consideration for promotion to the rank of Professor shall be made to the Dean of Science by the date specified in the *Science FEC Schedule of Events* document. This letter must clearly state whether the basis of the application is excellence in teaching and/or research, or exceptional service.

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

- an up-to-date curriculum vitae including a complete publication list;
- teaching statement;
- the names of at least six (6) internationally recognized scholars who can serve as referees capable of judging his/her research activity; and
- 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 all of the above, the staff member must also provide the names of at least six (6) persons (not necessarily different from the above six (6) 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:

- Develop a confidential list of referees capable of judging the staff member's research activity. This list will be derived from the applicant's recommendations and those of other staff members, as well as his/her own, and will not normally include individuals identified by the applicant as not acceptable.
- Write to a sufficient number of referees in order to obtain between four and six responses. Staff

members are not advised as to which of the referees are being contacted for comments.

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; (c) the leadership demonstrated by the individual. The Department Chair shall then 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.

- Invite staff members in the Department, who are at the rank of Professor to review the documentation submitted by the applicant and provide confidential opinions as to the merits of the application.
- Meet with the applicant to discuss the application.
- Assess the case for promotion, based upon the criteria provided in the Faculty of Science document *Criteria for Merit Increments, Tenure and Promotion*.
- Inform the staff member, in writing, by the deadline specified in the *Science FEC Schedule of Events*, as to whether he/she intends to support or oppose the application.
  - a) If the Department Chair decides to support the application for promotion, the decision to support the application is considered to be the recommendation of the Department Chair (clause 13.35) and the Chair shall provide the promotion documentation (see Appendix I) to FEC.
  - b) If the Department Chair decides to oppose the application, the Department Chair shall provide all confidential academic evaluations of the work of the staff member to the Dean.

### E. Responsibilities of the Dean

Where the Department Chair decides to oppose the application or when FEC's preliminary decision is to deny promotion, the Dean shall prepare a summary of the confidential material received and provide the staff 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 staff member to know the case he or she has to meet.

### F. Continuation of the Application

Where the Department Chair has decided to oppose the application, the staff member may continue the application in accordance with clause 13.48 of the

*Faculty Agreement*. The Dean will submit to the FEC, on behalf of the applicant, the material submitted by the Chair (Appendix I – Promotion). The staff member may submit additional information which is relevant to the application as per clause 13.49 by the due date specified in the *Science FEC Schedule of Events*.

Where the staff member requests reconsideration of the preliminary FEC decision, the staff member shall submit to the Dean, with a copy to the Department Chair, documentation as per clause 13.71 of the *Faculty Agreement*.

## G. Withdrawal of the Application

The staff member may withdraw his/her application for consideration of promotion at any time prior to the FEC meeting.

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## VI. 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>1</sup>.

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## Appendix I

### A. Documents from the Department Chair

#### 1. Tenure

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

- i. Staff member’s Annual Report
- ii. Chair’s Recommendation Form
- iii. The Chair’s Recommendation Summary Letter that includes an evaluation of the staff member’s research, teaching ability and service contributions
- iv. Sample of letter to external referees
- v. List of external referees
- vi. Four to six confidential letters of reference from external referees relating to research evaluation

- vii. Staff member’s Curriculum vitae
- viii. The staff member’s teaching statement
- ix. Publications selected by applicant and sent to external reviewers

If appropriate, other documentation may be submitted.

## 2. Promotion

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

When promotion is justified on the basis of excellence in teaching and/or research:

- i. Staff member’s Annual Report
- ii. Chair’s Recommendation Form
- iii. The Chair’s Recommendation Summary Letter that includes an evaluation of the staff member’s research, teaching ability and service contributions
- iv. Sample of letter to external referees
- v. List of external referees
- vi. Four to six confidential letters of reference from external referees relating to research evaluation
- vii. Staff member’s Curriculum vitae
- viii. The staff member’s teaching statement
- ix. 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:

- i. Staff member’s Annual Report
- ii. Chair’s Recommendation Form
- iii. The Chair’s Recommendation Summary Letter that includes an evaluation of the staff member’s historical record relating to research and teaching, and focus on “exceptional service”
- iv. Sample of letter to external referees
- v. List of external referees
- vi. Four to six confidential letters received from external referees relating to research evaluation
- vii. 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).
- viii. Staff member’s Curriculum vitae
- ix. The staff member’s teaching statement

If appropriate, other documentation may be submitted.

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<sup>1</sup>Canada. “Natural Sciences and Engineering Research Council of Canada”. 2010. On-line. Internet. 23 Nov 2010. Available: <http://www.nserc-crsng.gc.ca/OnlineServices-ServicesEnLigne/instructions/181/e.asp>