

This Manual should be distributed by Deans/FEC Chairs to all members of Faculty Evaluation Committees (FEC) with the expectation that it will be read and understood prior to the first meeting of the FEC

Reference Manual for Faculty Evaluation Committees

September 29, 2021

Please check the website at

www.ualberta.ca/human-resource-services/managing-administration/collective-agreement-administration/academic-agreement-resources

for a possible further updated version prior to your FEC meetings

Article A5 and B6 – Probation and Tenure/Continuing Appointment

Article A6 and B6 – Faculty Evaluation and Evaluation

Article A7 and B7 – Unacceptable Academic Performance

Article A8 and B8 – Appeals

Revisions:

Section 9.03.....Removed broken links

Section 14.08.....Clarified language

Section 14.09.....Clarified language

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Sample templates for use in conjunction with these articles are found in Appendix “L”

Individuals making use of this Reference Manual are reminded that it has been prepared specifically for convenience of reference. Faculty Relations attempts to improve on the information provided each year and appreciates any advice/suggestions that you can provide.

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Article I. Introduction/General/Application

Section 1.01 Use of Manual

This document is a Reference Manual for use by Faculty Evaluation Committees (FECs), Department Chairs, Deans, and other administrators in the salary increment, promotion, and tenure process. FECs may, however, have additional procedures, rules, or regulations, as long as these are not in conflict with the ***Collective Agreement, Schedule A for Academic Faculty Members ("Schedule A") and Schedule B for Faculty Service Officers ("Schedule B")***. All members of FEC are reminded that FEC is a confidential process.

Section 1.02 Source Document

- a. The principal source document for this Reference Manual is Schedule A. As some FECs also are required to evaluate the performance of Faculty Service Officers (FSO Members), Schedule B will also serve as a source document. Ensure you have the most recent versions found on the Human Resource Services website at <https://www.ualberta.ca/faculty-and-staff/my-employment/collective-agreements-and-handbooks>.
- b. References shown in parentheses throughout this Reference Manual refer to articles of the Schedules, except where explicitly stated otherwise.
- c. Where there have been formal interpretations under the Schedules, these, too, serve as a source of information and authority in this Reference Manual.
- d. This Reference Manual should not conflict with the terms of the Schedules. Should such conflicts arise, the appropriate Schedule shall govern.

Section 1.03 Abbreviations

The following abbreviations are used throughout this Reference Manual:

- a. FEC - Faculty Evaluation Committee
- b. FSO – Faculty Service Officer
- c. GAC - General Appeals Committee
- d. PRC – President's Review Committee
- e. Provost – Provost and Vice-President (Academic)

Section 1.04 Application of Manual and Decision Authorities

Appendix B provides a listing of the senior administrators responsible for increment, promotion, and tenure decisions for Academic Faculty Members and FSO Members.

Section 1.05 Time Periods

In this manual, "day" or "days" means Monday through Friday, except a day when the University buildings are closed. That is, reference is to "working days". References to "week", "month" or "year", refers to the calendar period.

Section 1.06 Non-Departmentalized Faculties

In this manual, the provisions and procedures set out refer to those of a departmentalized Faculty. In the case of a non-departmentalized Faculty, the term "Department Chair" is replaced by "Dean" and the term "Department" is replaced by "Faculty".

Note: Within the Faculty of Education, the School of Library and Information Studies is treated in the same manner as a department.

Article II. Faculty Salary and Increment Structure

Section 2.01 Rank Structure and Current Year Salary Scale and Increment Values

The Academic Faculty Member Salary Scale and steps can be found on the Human Resource Services website at <http://www.hrs.ualberta.ca/PayandTaxInfo/SalaryScales.aspx>.

- a. For the rank of Assistant Professor, there is a minimum salary level, a series of salary steps (increments), and a maximum salary level; however, the maximum salary for Assistant Professors does not apply to those on probation.
- b. For the rank of Associate Professor, there is a minimum salary level (inclusive of the Promotion Transition Zone), a series of salary steps (increments), and a maximum salary level.
- c. The maximum salary level for an Assistant Professor is greater than the minimum salary level for an Associate Professor and the maximum for an Associate Professor is greater than the minimum for a Professor.
- d. For the rank of Professor, there is a minimum salary level (inclusive of the Promotion Transition Zone) and a series of salary steps but there is no salary maximum. In addition, the dollar value of increments awarded to Professors decreases as salaries increase.

Section 2.02 Salary Adjustments

A change in salary as a result of negotiations between the Board and the AASUA is referred to as a "Salary Adjustment."

Section 2.03 Effective Dates of Decisions

Increments and promotions are effective July 1 following decisions by the FEC.

Article III. Review of Performance; Standards of Performance

Faculty "Standards of Performance" are to be prepared by the FEC, reviewed by the Office of the Provost, and approved by the Faculty Council. Please note that "Faculty Council" for the purposes of approval of the standards of performance is clarified in Definition 1.16 of the Common Agreement. When approving Standards of Performance, "voting on decisions required by each Schedule shall be restricted to the Staff Members appointed in the Faculty under that Schedule".

Section 3.01 Provision of Standards of Performance to Staff Members

- a. In keeping with the tenets of natural justice, each staff member should be apprised of the standards of performance expected within their Faculty. Accordingly, each staff member should be provided with a copy of their Faculty's standards statement.
- b. Standards for the award of tenure or continuing appointment shall not be changed during probation for an individual staff member unless the staff member agrees, in advance of the hearing of FEC, to the new standards. (Article A6.03.9, B6.03.9)
- c. The work performed by a staff member under review for the year prior to promotion to Professor should be evaluated against the "upper" standards for an Associate Professor because the staff member was an Associate Professor for the year under review. For the calculation of increment refer to Section 6.01(b) below.

Section 3.02 Mandatory Annual Report and Review

- a. Each staff member is required to submit an Annual Report.
- b. A notice should be sent to all staff members advising of the deadline date for submission of their Annual Reports.
- c. An email reminder should be sent to those staff members who fail to submit their Annual Reports by the deadline. (See Appendix "I" and Appendix "K", Template 1)
- d. The Reports shall be used by the Department Chair in preparing recommendations to FEC and by FEC in evaluating those recommendations. See Sections 4.01, 4.02, 7.10, and Appendix "D" below.
- e. The performance of each staff member must be reviewed annually by the FEC and a statement concerning the performance of the staff member must be submitted to FEC by the Department Chair (in departmentalized Faculties) or the Dean (in non-departmentalized Faculties). For non-compliant staff members, the Department Chair will submit a letter to FEC indicating that they are unable to evaluate or make a recommendation. This provision applies regardless of the location of the staff member in the salary/rank grid. A staff member does not have the right to ask that their performance not be evaluated. (Articles A6.07.1, A6.09.1 and Article A6.13 of Schedule A and Articles B6.07, B6.09.1, B6.13 of Schedule B)
- f. Refer to Section 14 below regarding annual review for staff members on medical leave, childbirth leave, etc.

Section 3.03 Progress through the Ranks

For standards of performance criteria, refer to Articles A6.03.1 - A6.03.9 of Schedule A and Articles B6.03.1 – B6.03.9 of Schedule B.

Section 3.04 Period of Review

FEC reviews the performance of staff members "in the year under review." Each Faculty Council determines the particular 12-month review period which is usually the "academic year" (July 1 to June 30) but other "years" are permitted. (Article A6.13, B6.13)

All Faculties, except Engineering, have established the academic year as the review period.

Because reviews are completed annually, major or long-term projects must be assessed on an annual basis. There is no "cumulative merit" or "smoothing" for work conducted over a period of years. This does not mean, however, that the final publication of a major project cannot be appropriately rewarded in accordance with A6.03.5 "Each Faculty's standards of performance shall include criteria for the assessment of research productivity in the case of multi-year projects".

Section 3.05 Consideration of Supplementary Professional Activities

Normally, a staff member's supplementary professional activities (SPA) will be taken into account by FEC in evaluating the performance of that person. However, if authorized by the Provost, a Faculty Council may modify the application of that principle. (Article A3.07.5)

Section 3.06 Retirement and Annual Review

- a. Staff lists for FECs are prepared on the basis of information known at the time. If a Faculty receives information about a retirement between the preparation of the staff list and consideration by FEC, the staff list and increment pool will be amended accordingly. See Section 5.02 below.
- b. Staff members who are retiring on June 30th or earlier in the current academic year will not submit an annual report to FEC and there will be no recommendation to FEC by the Department Chair or Dean for incrementation.
- c. Staff members who are retiring after June 30th in the current academic year will submit an annual report to FEC and there will be a recommendation to FEC by the Department Chair or Dean for incrementation to be effective July 1st of the next academic year.
- d. During a phased pre-retirement employment period, staff members are on a partial leave without pay and remain continuing staff members and will submit an annual report to FEC and there will be a recommendation to FEC for incrementation by the Department Chair or Dean (until such time as 3.06(b) applies)
- e. Staff members who are planning to retire and begin a phased post-retirement employment period on July 1 or later, in a subsequent academic-year, will submit an annual report to FEC. There will be a recommendation to FEC for incrementation by the Department Chair or Dean in order to establish the starting salary rate for the phased post-retirement period. This will be the final time that the staff member will be considered by FEC. Any incrementation will be a charge to the Faculty's increment pool.
- f. Staff members who will retire and begin a phased post-retirement employment period on January 1 or later in the current academic year will submit an annual report to the Department Chair and there will be a recommendation to the Dean for merit in order to establish the starting salary rate for the phased post-retirement period. Any incrementation will not be a charge to the Faculty's increment pool.

Article IV. Authorities and Membership of FEC

Section 4.01 Application for Staff Members and Administrators

- a. FEC considers the performance of all staff members in the Faculty except Department Chairs, subject to Faculty Council requirements for Chairs. (Articles A6.07.1 and A6.07.3)
- b. Academic faculty members who serve as Associate Deans, Assistant Deans (Academic Faculty Members), Associate Department Chairs, and in similar administrative positions are considered by the appropriate FEC. For these administrative positions within departmentalized Faculties, the formal recommendation to the FEC shall normally be made by the Department Chair. The Department Chair shall consult with the Dean prior to making the formal recommendation.
- c. Whenever the Dean is the officer making a formal recommendation to the FEC and the Dean is also the Chair of the FEC, the Dean will step down as Chair of the FEC for that case, with another FEC member serving as Chair. Where the duties of the Associate Dean/Assistant Dean are divided equally between the Office of the Dean and the Department, the formal recommendation will be by either the Dean or the Department Chair, with such a procedure to be determined in advance. In all such cases, the officer who makes the formal recommendation must consult with the "other" officer prior to making the formal recommendation.

- d. In the case of a staff member on a full-time secondment to an external agency or serving in a "central" University administrative position, the annual evaluation will, normally, be completed outside of the FEC process with input to the evaluator, as appropriate, from the staff member's Department Chair.

Section 4.02 Joint Appointments

- a. In the case of a staff member whose appointment is split between two Faculties, the FEC which will consider the case is that in which the staff member has the majority appointment. If the split between the two Faculties is 50-50, one of the two will be designated as the "home" Faculty in the letter of appointment and its FEC will consider the case. In all joint appointments, the appropriate officers in the "home" Faculty must consult with the other Faculty concerning **academic performance and in rare occasions on administrative performance (such as Associate Dean FGSR or Student Services)**, prior to making the formal recommendation to FEC.
- b. In departmentalized Faculties, it is the responsibility of the staff member's Department Chair in the "home" Faculty to obtain a written statement from the staff member's Department Chair in the other Faculty as to their performance since the last meetings of the FEC, prior to the "home" Department Chair submitting the recommendation to the FEC.

Section 4.03 Membership Eligibility for Faculty and FSOs

- a. Notwithstanding Article A6.06.2, allowing variations for membership, members of FEC must be those tenured/continuing staff members whose appointments are governed by Schedule A or Schedule B.
- b. Staff on Sabbatical are relieved from their teaching and service duties. It is not in the best interest of their research to serve on committees while on Sabbatical. While the practice is not prohibited, it is not recommended.
- c. When the cases of FSOs are considered by an FEC, the membership of the FEC will be increased by the addition of a FSO from another Faculty, such person to be appointed by the Provost. That person is a full voting member for FSO cases - but should not be present at FEC hearings for other than FSO cases. (Article B6.06.1(c))
- d. **If a Department Chair cannot attend an FEC meeting the Chair can delegate their responsibilities for the specific meeting to an Associate Chair in accordance with Article A12 of the Schedule A.**

Section 4.04 Terms of Office

A Faculty Council may provide varying term lengths for elected members so as to provide some continuity of membership.

Section 4.05 Alternate Members

A Faculty Council may determine that the FEC composition should include an elected alternate member who would serve as a voting member in the absence of another elected member, e.g. when the case of an elected member is being discussed or in any cases where a conflict may be declared. The alternate member should be present for the discussion of all cases (other than their own) and not just for those cases in which they become a voting member.

Section 4.06 Statutory Members

The statutory members of an FEC are the Dean and Department Chairs and these members may not be replaced by alternates should they be absent from a meeting of the FEC unless approval for such delegation has been granted by the appropriate officer. In the case of Deans, this is the Provost; in the case of Department Chairs, this is the Dean. See Section 4.03(a) above.

Section 4.07 Resource Staff

Support or resource staff, e.g., Associate Deans, Administrative Officers, Administrative Assistants, etc. may attend meetings of an FEC, at the invitation of the FEC, but should not play a significant role in the discussions. They are not to be considered as members of FEC. (Article A6.16.4)

Section 4.08 Conflict of Interest

At the beginning of each session, FEC members should be asked to consider whether they have a conflict of interest, or may be perceived to have a conflict, with respect to any of the individuals who are being reviewed at that session.

A conflict, in this situation, may include the following:

- Personal relationship – spouse/partner, close friend, relative;
- Professional association – internal or external to the University;
- Graduate supervisor;
- Past or present inter-personal conflict;
- Co-researcher, co-author, co-editor – past or present.

These conflicts should be self-declared, or alternatively, the FEC member could be challenged by another FEC member or by a staff member who is being reviewed.

Having declared the conflict of interest, the FEC Chair shall determine whether the FEC member needs to refrain from participation in discussions or voting related to the individual staff member who is being reviewed.

In exceptional cases only (e.g. in the event of a personal relationship), the FEC member may be required to withdraw physically from all participation in the staff member's review.

Article V. Increment Pool

Section 5.01 Increment Pool for Eligible Staff Members

The number of increments in the increment pool will be equal to 1.2 times the number of eligible staff members within each Faculty. Eligible staff members under this provision are those staff members in the Faculty whose appointments are governed by Schedule A and Schedule B. Staff lists and increment pools for FEC are created by the Faculty, directly from PeopleSoft HCM (refer to the Creating Staff List and Academic Increment Pool for FEC Training Manual). Unused increments in one pool cannot be used or transferred to another pool.

Section 5.02 Definition of Staff Count

In determining the number of staff eligible to be considered for increments by the FEC, the following rules apply:

- a. All eligible staff members covered either by Schedule A or B are to be included in the number generating the increment pool.

- b. Staff members who are at the salary cap (i.e. Associate Professors and FSO 1, 2, 3 on step 13 and FSO 4b on step 5) are not counted in the increment pool. In the case of a capped staff member who comes forward for promotion, however, the pool will need to be increased by 1.2.
- c. Staff members who joined the University on July 1 through October 1 (inclusive) are eligible to receive a 1.0 increment effective the next July 1. They are counted as one in the staff count and contribute 1.2 increments to the pool
- d. Staff members who joined the University on October 2 through June 1 (inclusive) receive a 1.0 pro-rated (PRO) increment effective the next July 1. See Section 6.03 below. They are not counted in the staff count as “one” and do not contribute 1.2 increments to the pool. The *Summary of Approved Salary Increments Report* within the Faculty for that review period should reflect that 1.0 (PRO) increment was awarded to that new staff member effective the next July 1.

In the next review year, these staff members shall be counted as “one” in the staff count and, therefore, shall contribute 1.2 increments to the pool. Such new staff members, in the current period under review, are typically awarded a 1.0 increment. Each Faculty has practices that determine whether the annual report is reviewed in the usual manner or whether a 1.0 increment is automatically awarded the following July 1.

- e. Staff members who are on full or partial disability leave should not be included in the report and, therefore not counted in the increment pool. See Section 14.09 below for additional information on medical and disability leave.
- f. The increments for staff members who are on Childbirth or Parental Leave and opt for a non-adjudicated adjustment to base salary are **not counted in the increment pool and the non adjudicated adjustment awarded is not included in the count of increments awarded from the pool. (See Step 6 in the Creating Academic Increment Pool for FEC training guide for instructions.)** If you have questions on processes specific to your Faculty, please contact Faculty Relations.
- g. Refer to Section 3.05 above for details related to staff members resigning or retiring at the end of the current academic year (i.e. June 30).

Section 5.03 Effect of Retirements

See Section 3.05 above to determine effects of retirement on the increment pool.

Section 5.04 Effect of Terminations

- a. If no formal termination has been received by the time the Increment Merit List is generated the staff member concerned will be included in the List Report and in the staff count which determines the number of increments to be awarded. If a formal termination has been received by that time, the staff member will be excluded from the List Report and the count.
- b. If a staff member's name appears on the Staff List (and, therefore, included in the count which determines the number of increments available to a Faculty) and submits their retirement/resignation before the meeting of the FEC, the Dean shall remove the staff member's name from the List and revise the staff count and number of increments available accordingly before the FEC considers the cases.
- c. If a staff member is awarded an increment and subsequently retires/resigns, that increment may not be awarded to another staff member.

Section 5.05 Increment Pool for Each Faculty

Each FEC is authorized to approve merit increments whose number is less than or equal to the 1.2 increment pool. FEC will fully distribute the maximum number of increments available for distribution each year, plus or minus the greater of: i) 2% of the number of increments available for distribution, and ii.) 1.0 increment. The Provost, following consultation with the AASUA, may permit an FEC to exceed the number. If the FEC exceeds its limit and appeals to the Provost for relief from the limit, the Provost will either (a) allow such relief and ratify the increment awards, or (b) require the FEC to modify its awards to conform to the limit. If the Provost decides on the latter course, the FEC will be so advised and the FEC must reconvene. (Article A6.08.4, B6.08.3)

Note: The Provost automatically approves excesses of a one-half increment, or less, above the 1.2 increment pool.

Article VI. Increments and Values of Increments

Section 6.01 Increments on Promotion

The following rules apply to increments on promotion to Associate Professor or Professor:

- a. If a staff member is promoted to Associate Professor or Professor, they must be awarded no less than a single increment at the same time. (Articles A6.12.9 - A6.12.10)
- b. If a staff member who is being promoted has a current salary which is below the salary minimum for the next-higher rank, the value of the increment will be determined as follows:
 - I. The value of that portion of the increment which is sufficient to take the staff member's salary to the salary minimum of the next-higher rank will be at the current rank;
 - II. The remainder of the increment (if any) will be at the value of the next-higher rank.

Example: *An Associate Professor's base salary is currently at \$119,013. The minimum salary for a Professor is \$121,193. The staff member has been awarded a 1.0 increment. The first increment will be calculated using the current rank increment value for an Associate Professor which will bring the staff member's salary up to the minimum of a Professor ($\$3,271 \times 66.57\% = \$2,177$). The rest of the increment will be calculated using the current rank increment value for a Professor 1 ($\$3,847 \times 33.43\% = \$1,286$), bringing the salary up to \$122,476.*

- c. If a staff member who is being promoted has a current salary which is at or above the salary minimum for the next-higher rank, the value of the increment awarded on promotion will be at the value of the next-higher rank.
- d. A staff member may be awarded a special increment on promotion. The value of such increment will be just sufficient to bring the salary, on promotion, to the salary minimum of the next higher rank (e.g. 1.23). (Article A6.09.1(e))

Section 6.02 Increments in Professor Rank

The increment awards to Professors reduce in value as the salary of the Professor increases. The current year values can be found on the Human Resources website at <https://www.ualberta.ca/faculty-and-staff/pay-tax-information/salary-scales>.

The same principle as set out for promotion (in Section 6.01(b) above) applies to the value of increments to Professors. The value of the increment will be at the value of the current salary level unless the increment takes the salary of the staff member into the next salary level. In that

event, the value of that portion of the increment which is sufficient to take the staff member's salary to the minimum of the next salary area will be the value of the current salary area and the remainder will be at the value of the next salary area.

Section 6.03 Pro-Rated Increments

"An academic faculty member and FSO member whose appointment takes effect in the period July 1 to October 1, inclusive, is eligible to receive a full increment at one of the values referred to in Articles A6.09 and B6.11.1 on the next following July 1. An academic faculty member and FSO member whose appointment takes effect in the period October 2 to June 1, inclusive, is eligible to receive a pro-rated increment on the next following July 1, the proportion of a full increment depending on the number of months they will have served by July 1. An academic faculty member and FSO member whose appointment takes effect in the period June 2 to June 30, inclusive, will not be eligible to receive an increment on the next following July 1." (Article A6.11.1, A6.11.2, B6.11.2)

Further to Article A6.11.2 of Schedule A, the value of pro-rated increments for individuals who join the University between October 2 to June 1 (inclusive) will be in accordance with the following:

Date of Appointment	% of Single Increment
October 2 - November 1	66.7%
November 2 - December 1	58.3%
December 2 - January 1	50.0%
January 2 - February 1	41.7%
February 2 - March 1	33.3%
March 2 - April 1	25.0
April 2 - May 1	16.7%
May 2 - June 1	8.3%

Note that staff who join the University between October 2 to June 1 (inclusive) are not counted in the staff count as "one" and do not contribute 1.2 increments to the pool. See Section 5.02(c) above.

Section 6.04 Advice re "Zero Increments"

Schedule A and B provides for an award of "zero increment". If the Department Chair recommends a zero increment for a staff member, the recommendation shall specifically label the increment with one of the identifying labels (see below). Similarly, if the FEC awards a zero increment, it shall be specifically labelled and the staff member will be advised. (Article A6.10, B6.10)

Note that 0.0 b to 0.0d are appealable.

- 0.0 a: that maximum for rank has been reached and standards for promotion have not been met but performance is acceptable notwithstanding.
- 0.0 b: that performance requirements for an increment have not been met but performance is acceptable notwithstanding
- 0.0 c: that academic performance while on authorized leave could not be properly evaluated.

0.0 d: that academic performance is unsatisfactory and unacceptable.

Increment awards of 0.0 b to 0.0 d are appealable to the General Appeals Committee (GAC).

For those staff members who are at maximum salary level (i.e. 0.0 a), FEC should only make a qualitative evaluative comment and should not refer to a numerical increment which cannot be given (i.e. do not award a “phantom” increment).

The awarding of a 0.0 b can simply mean that all responsibilities undertaken are “acceptable”. However, a 0.0 b may **also reflect** “under performance” in one of the areas of teaching, research or service; and may be used to indicate that a staff member needs to improve in one, or more, area(s); and/or that the staff member may be in risk of a future 0.0 d.

Section 6.05 Clear and Reasoned Recommendations

The recommendation submitted to the FEC must comply with Schedule A and Schedule B and should be clear and unequivocal in terms of the number of increments recommended and promotion (where appropriate). Department Chairs or Deans must make a written submission to the FEC with a rationale for their recommended merit increment. This is particularly important where the recommendation is less than a single increment as the staff member has a right to contest the recommendation before the FEC and needs to understand the reason(s) for the increment recommendation to make an informed decision. See Appendix “K”, Templates 24 to 33 below. (Articles A6.09.1 and B6.14.1)

Note that while quarter increments are possible there is no 0.25 increment.

Article VII. Promotion

Refer to Appendix C below for the “Actions at Application for Promotion” Flow Chart.

Section 7.01 Eligibility for Promotion

- a. The only true promotion cases before FEC are those from the rank of Associate Professor to Professor. The award of tenure to an Assistant Professor automatically confers the rank of Associate Professor on that staff member. See Article VIII below.
- b. An Associate Professor is eligible to apply for promotion to Professor when the current salary (of the staff member) is within one increment of, or is higher than, the salary minimum of the Promotion Transition Zone of Professor. (Article A6.12.3(b))
- c. The minimum salary rate to be used for applying for promotion is calculated by taking the current minimum salary of the Promotion Transition Zone for Full Professor and subtracting the rate of the current increment value for Associate Professor.
- d. Of course, a staff member whose salary is higher than the minimum shown above is also eligible. See Article A6.12.5 of Schedule A for special eligibility for promotion.
- e. A staff member appointed as an Associate Professor without tenure is eligible to make a joint application for tenure and promotion to Professor when the current salary is within one increment of, or is higher than, the salary minimum of the Promotion Transition Zone of Professor. In this case, FEC may decide not to consider the application for promotion. (Article A6.12.3(a))
- f. An FSO member is eligible to apply for promotion when the current salary is within one increment, or is higher than, the salary minimum of the next rank. (Article B6.12.1)

Section 7.02 Review of Complete Career - Promotion to Professor

- a. Promotion to the rank of Professor is regarded not merely as another increment step but rather the recognition of demonstrated distinction over the course of a career to that point. The review required to promote to Professor will, therefore, receive treatment different from that accorded other increments in a staff member's career, and the complete career will be considered. See Appendix "K", Templates 3 and 4 below. (Article A6.12.1)
- b. The complete career is interpreted to mean the **review of career up to the time of application to promotion**. In certain Faculties, this may result in a longer period of review than that for staff members whose cases for promotion are not being considered. For example, if a Faculty has decided that the period of review is to be July 1 of the previous year to June 30 of the current year, when it considers performance in December of the current year, the "complete career" of the staff member up for promotion could be inclusive of performance between July 1 (of the previous year) and mid-November of the current year.

Section 7.03 FEC Procedures - Promotion

The question of what constitutes "satisfactory documentation" in the case of promotion is left up to the individual FECs. For commentary on external assessments/references, see Appendix "J" below. (Article A6.12.6)

Section 7.04 Partial Increment - Non-Promotion

A staff member whose salary is less than one increment from the salary maximum for Associate Professor and who is not promoted, may be awarded a partial increment by FEC which will take the salary to the maximum for the current rank of Associate Professor. The difference between that partial increment and a single increment is available for awarding within the Faculty increment pool.

Section 7.05 Application for Promotion and Advice of Department Chair

Promotions from Associate Professor to Professor are to be on the basis of an application by the staff member to FEC. (Article A6.12.4). Where a staff member applies to FEC for promotion to Professor, the Department Chair, in their evaluation statement to FEC about the staff member, shall indicate support or non-support for the application. Such a statement shall include the reasons for the position taken. (Article A6.12.7)

Section 7.06 Procedures When FEC Does Not Support Recommendations

Where the FEC is not prepared to support an application for promotion to Professor which has been supported by the Department Chair, the position of the FEC shall be considered a preliminary position. See Appendix "K" Template 18 below. (Article A6.19.1)

Section 7.07 Review of Those at Ceiling

The performance of all staff members must be evaluated by the FEC. This includes staff members who are at the salary ceiling of the Associate Professor rank and are not going forward for promotion to Professor. See Section 3.02 above. (Article A6.13)

Section 7.08 Order of Consideration

It is suggested that when the FEC has a case for promotion to consider, it should first consider the question of promotion and then, subsequently, the question of the number of increments to award the staff member. Also, it is recommended that all promotion cases be considered at one point in the FEC agenda rather than interspersed throughout the agenda.

Article VIII. Tenure

In cases where a staff member has been offered a first probationary period which is less than four years, Faculty Relations must be advised in order to first consult the AASUA. It is important to note that the staff member is still entitled to a four year first probationary period with all the rights and privileges that involves, regardless of the shortened time period mentioned in the appointment letter. Refer to Appendix D for the “Actions at the End of the Second Probationary Period” Flow Chart below.

Section 8.01 FEC Membership

When FEC deals with tenure cases, there are two special provisions regarding membership of that body:

- a. In departmentalized Faculties, when FEC is considering a staff member for a **second probationary period** or for tenure, the staff members in the Department of the candidate shall elect one of the tenured staff members of the Department to serve as an additional member of FEC to hear the case. (Article A6.06.1(d))
- b. An FEC may delegate to a sub-committee its authority in tenure (and related) cases. FEC decides on the composition of such a sub-committee. However, such a sub-committee must include representatives of FEC to ensure consistency in the application of standards and, as a minimum; it must have at least two representatives from the candidate's Department, viz. the Department Chair and one other. Proposals to establish sub-committees are considered by the Agreement Review Committee. (Article A6.06.2)

Section 8.02 Authority of FEC in Tenure Cases

- a. FEC is authorized to make the following decisions in tenure cases:
 - I. At the end of a first probationary period: authorized to (1) offer a second probationary period, (2) grant tenure, or (3) terminate appointment. See Appendix “K”, Templates 5 to 9 below. (Article A5.03.4)
 - II. In years other than the last year of a probationary period: authorized to (1) grant tenure or (2) continue the present probationary appointment to its contracted end-date. (Note that, under this case, FEC does not have authority to terminate the appointment or to extend the appointment beyond the contracted end-date.) (Article A5.05.1)
 - III. At the end of the second probationary appointment: authorized to (1) grant tenure, (2) terminate appointment, or (3) extend the probationary appointment for one year. See Appendix “K”, Templates 11 to 16 below. (Article A5.04.2)
- b. A one year extension should only be granted under a.III, when there is a real possibility that the staff member will perform at a level sufficient to be granted tenure.
- c. Cases where the Department Chair has recommended a second probationary period approved by the Dean do not go forward to be heard by FEC. See Appendix “K”, Template 5. (Article A5.04.1(a))
- d. A Faculty Council may determine that all cases at the end of a first probationary period be considered by FEC. That is, the Dean would not be authorized to offer a second probationary appointment to a staff member under Article A5.03.2(a) of Schedule A; rather, this would have to go to FEC for decision. (Article A5.03.3)

Section 8.03 Standards of Performance

In evaluating the performance of a staff member for tenure, FEC shall take into account the standards established for the Faculty under Articles A6.03.2 to A6.03.5 of Schedule A.

Section 8.04 No Change in Standards

The standards for tenure shall not be changed from those which were in place when the staff member was appointed for the probationary period unless the staff member agrees to a change. (Article A6.03.9)

Section 8.05 Review of Complete Career - Tenure

When evaluating the performance of a staff member for tenure/second probationary period, FEC will review the staff member's performance over the complete career, **including the record of increments since the initial appointment**. See also Section 7.02(b) above. (Article A6.12.11)

Section 8.06 Not an Application - Tenure

Unlike the situation with promotion from Associate Professor to Professor where the staff member applies to FEC for promotion, a decision on tenure (and related matters) is made by FEC after consideration of a recommendation by the Department Chair. (Article A6.12.2)

Section 8.07 Special One-Year Extension of Second Probationary Appointment

Under Article A1.03.2 of Schedule A, in extraordinary circumstances, a Department Chair (with the written approval of the staff member) may recommend a special one-year extension of the second probationary appointment to the Dean, who then recommends to the Provost. Under Article B1.03.2 of Schedule B, in extraordinary circumstances, a Department Chair (with the written approval of the staff member) may recommend a special one-year extension of the second probationary period appointment to the Dean, who then recommends to the Provost. The Provost, in consultation with the President of the AASUA, may then grant the special one-year extension.

Note: A Special extension is an option that is in addition to those available under Articles A5.02.4 and A5.04.2(c) of Schedule A.

Example 1: *Staff member is nearing end of first probationary period and has encountered a delay in receipt of grant funding through no fault on their part, slowing the progress of their research program. Rather than the Department Chair recommending a second probationary period, the Department Chair could recommend a special extension to the first probationary period in order to allow the staff member an additional year to make progress within the first probationary period.*

Example 2: *Staff member is nearing end of second probationary period and has experienced a series of family-related matters over the past few years that have hampered their progress. There were no leaves requested/ required over these years. Rather than the Staff Member preparing a tenure application package, the Department Chair could recommend a special extension to the second probationary period in order to allow the staff member an additional year to make progress towards tenure and promotion.*

Section 8.08 FEC Quorum

The quorum for tenure cases before FEC is the same as that for increment/promotion cases, 80% of the FEC membership. However, the departmental member added under Article A6.06.1(e) of Schedule A shall be present during consideration of the case. (Article A6.16.2)

If an elected departmental representative is unable to attend a meeting of FEC, there must

be an alternate in attendance. This could be the person who was runner up in the vote. There must be an alternate for the departmental representative in tenure cases.

Section 8.09 Decision - Tenure

As soon as FEC has reached a decision in a tenure case, the FEC Chair shall advise the staff member of the decision, in writing. In non-departmentalized Faculties, this task may be delegated to the Dean. See Appendix "K", Template Letter 10 below. (Article A6.16.7)

Section 8.10 Schedule of Events

See Appendix H of this manual for the schedule of events in tenure cases.

Article IX. Review of Department Chairs and Vice-Deans

The roles and responsibilities of a Department Chair are outlined in the University of Alberta's Policy and Procedures On Line (UAPPOL) under [Recruitment Policy - Selection of Department Chairs Procedure \(Appendix A\): Roles and Responsibilities](#).

Section 9.01 Interpretation of "Department Chair"

The term "Department Chair" will include the following: Department Chairs on campus; Department Chairs on leave of absence; Acting or Interim Department Chairs; Department Chairs resigning as Chair at the end of the current academic year but continuing on staff; and Department Chairs who also serve as Associate or Assistant Deans. Note: heads of "divisions" are not considered to be Department Chairs.

Section 9.02 Review by Dean or FEC

- a. FEC does not normally consider the performance of Department Chairs. The Dean annually reviews the performance of all Department Chairs and submits increment recommendations to the Provost for approval. (Articles A6.07.01 and A6.07.2)
- b. Faculty Council may require that the performance of Department Chairs be considered by FEC for the award of increments and all rules and procedures of FEC for regular cases will apply. (Article A6.07.3)

Section 9.03 Period of Review of Department Chairs and Special Cases

- a. Appendix B of this Reference Manual states that Deans shall conduct the annual reviews of Department Chairs and provide an increment recommendation to the Provost for decision.
- b. Specifically, with respect to the review period:
 - I. If administrative leave is taken immediately following the end of the term as Department Chair, the Dean could be responsible for the annual review and recommendation to the Provost in the first year following the end of the term, as well as the succeeding term (at the request of the staff member).
 - II. If there is no immediate administrative leave following the end of the term as Department Chair, the Dean could be responsible for the annual review and recommendation to the Provost in the succeeding year.
- c. If the staff member chooses an option under Section 9.03(b) above, they should submit that request to the Dean, copied to the Department Chair and to the Provost.
- d. If the staff member does not choose an option under Section 9.03(b) above, the position held by the staff member at the time of the hearing of the appropriate FEC determines

whether or not the staff member's performance is completed by FEC or the Provost. For example, if a particular Faculty's period of review is July 1 of the previous year to June 30 of the current year, and its FEC meets in December of the current year, the Dean will consider the cases of all those persons who are Department Chairs as of July 1 of the current year. By the same token, in that same Faculty those persons who were Department Chairs in the period of review but who are now regular staff members would have their cases heard by the FEC notwithstanding the fact that they were Department Chairs during the period under review.

Section 9.04 Promotion of Department Chairs

FEC will consider applications for promotion to Professor by Department Chairs and all rules and procedures of FEC for "regular" cases will apply. (Article A6.07.2)

Section 9.05 Review of Vice-Deans

- a. As Vice-Deans are excluded from the Collective Agreement for the term of their office, the Dean annually reviews their performance and submits increment recommendations to the Provost for approval. **This includes their performance for the year prior to a new appointment as Vice-Dean.**
- b. Vice-Deans are also reviewed by the Dean for the administrative leave that occurs following their term(s) as Vice-Dean.
- c. The awarded increment for a Vice-Dean will not be included in the Faculty increment pool.
- d. The value of the increment that will be provided to the Vice-Dean will be that which is determined in accordance with the decisions made by the BHRCC.

Article X. Unacceptable Academic Performance

Section 10.01 "Trigger Mechanism" – 0d in both the Year Under Review and one of the two preceding Years.

- a. The FEC Chair shall refer the record of a staff member to the Provost with a recommendation that the staff member be "disciplined" for unacceptable academic performance if FEC has cited performance as unsatisfactory and unacceptable, provided that the staff member's performance has also been cited as unsatisfactory and unacceptable in either of the two preceding years and further provided that, if the staff member had appealed the FEC decision to GAC, such appeal was not upheld. (Articles A7.01 and B7.01)
Notes: FEC Chair recommends that the staff member be disciplined but does not recommend the specific sanction or penalty. In the letter advising the staff member of the decision of the FEC, the staff member should be advised that the record will be referred to the Provost for possible disciplinary action under Article A7 or B7 if the decision of the FEC is not appealed to the GAC or if the appeal is not upheld by the GAC.
- b. The record of the staff member shall include copies of all material about the staff member which had been before FEC in the last three years and before GAC in any appeals made by the staff member in those years and any additional material which the FEC Chair adds to support the recommendation. (Articles A7.02 and B7.02)
- c. The onus shall be on the FEC Chair to establish that, on a "balance of probabilities", the academic performance of the staff member be declared unsatisfactory and unacceptable and that a penalty be assessed by the Provost. Note: "Balance of probabilities" is the standard of

proof required in civil cases (i.e. it is “more probable than not”, or more technically, the chance of the proposition being true is more 50%).

Section 10.02 Consideration of Case by Provost

Upon submission of the recommendation by the FEC Chair under Section 10.01 above, the Provost will consider the case under the detailed procedures of Article A7 of Schedule A.

Section 10.03 Discipline outside of Schedule A

If a Department Chair is of the opinion that the current performance of a staff member warrants discipline, then such a case may be submitted to the Provost as a complaint under the provisions of Article 7 of the Common Agreement. That is, the performance of a staff member is sufficiently unsatisfactory to potentially warrant the discipline of a staff member. Such a case is distinct from those which arise out of a recent history of unsatisfactory performance and which are considered under the provisions of Article A7 of Schedule A.

Section 10.04 Alteration of Schedule - GAC

In the case of appeals of decisions made by FEC to GAC, there is some flexibility possible regarding the schedule set out in the Agreement. (a) Under Article A8.04.13 of Schedule A, the GAC Chair may extend the deadlines for submission to GAC by the appellant or respondent. (b) Under Article A8.08 of Schedule A, all deadlines regarding an appeal other than those regarding submission of materials to GAC "may be varied by the mutual written consent of the Appellant, the Respondent and the Chair (of GAC)."

Article XI. Contested Cases

Section 11.01 Contested Case - Right to Appear

A contested case is one where the staff member has the right to appear before FEC. (Articles A6.17.1 and B6.17.1)

A staff member has the right where:

- a. The Department Chair recommends that less than a single increment be awarded, except where the staff member is within one increment from the salary maximum of the rank and has not applied for promotion;
- b. The Department Chair recommends that no further appointment be offered to a staff member;
- c. The staff member applies for promotion and the application is not supported by the Department Chair; and
- d. Cases arising under Article A6.19.1 of Schedule A and B6.19.1 of Schedule B.

Section 11.02 Contested Case - Detailed Procedures

Upon the staff member advising the FEC Chair of their intention to contest a decision under Section 10.01 above, the detailed procedures beginning at Article A6.17.2 of Schedule A and Article B6.17.2 of Schedule B will apply.

Example: *A Department Chair recommended a 0.0 d merit. The staff member contested the recommendation of the Chair and appeared before FEC. The FEC decision was a 0.75 increment. Since the FEC already raised the Chair's recommendation, there is no reconsideration by FEC. However, since the increment is still less than 1.0, the staff member can appeal to GAC.*

Section 11.03 Advance Notice re FEC Hearing

To enable the staff member to challenge a recommendation of the Department Chair to FEC, they must know the date of the FEC hearing - so that the material can be submitted by the deadline under Article A6.17.2 of Schedule A and Article B6.17.2 of Schedule B. Therefore, staff members must be apprised of the date when FEC will hear the case. See Appendix "K", Templates 11 and 25 below.

Section 11.04 Promotion Cases

Where a staff member has applied for promotion to Professor but the application is not supported by the Department Chair, the staff member has the right to appear before the FEC to present a case. Where the increment recommendation of the Department Chair is one or greater, the challenge of the staff member shall be restricted to promotion considerations and shall not address the increment recommendation. If, however, the increment recommendation of the Department Chair is less than one, then the case of the staff member can address both promotion and increment considerations. See Appendix "K", Template 19 below.

Section 11.05 Exercising Right to Appear

Article A6.17.1 of Schedule A and Article B6.17.1 of Schedule B provides that a contested case "is one where the staff member has the right to appear before FEC" and then goes on to describe those cases. This phrase has been interpreted to the effect that a contested case is one where the staff member has the right to appear before FEC or to submit material to FEC and has chosen to exercise that right, i.e. has decided to challenge the recommendation before FEC. The staff member may be assisted by an advisor (not a lawyer) when appearing before the FEC. The role of the advisor is to consult with, assist and raise procedural points on behalf of the staff member and not to serve as the counsel or spokesperson for the staff member. As the FEC decision is an academic decision, it is important that the FEC hear from the staff member and not an advisor.

Section 11.06 Special Contested Case

If a recommendation is submitted to FEC which is not included in the list of contested cases in Article A6.17.1 of Schedule A and Article B6.17.1 of Schedule B, but FEC, upon initial consideration, decides that its decision should be one which is less than the recommendation and if that decision is of a type that is included in Article A6.19.1 of Schedule A and Article B6.19.1 of Schedule B, then that "decision" is to be considered as the "preliminary position" of FEC and that position may then be considered as a "contested case." Under such a circumstance, the staff member has the right to appear before a subsequent meeting of FEC and/or to submit materials to FEC and, if they choose to do so, this will be a contested case and the regular rules for a contested case will apply.

Section 11.07 Contested Case Procedures

If a staff member has contested the recommendation of a Department Chair to FEC, the Department Chair will be present only for that portion of the FEC hearing at which the evidence is presented. The Department Chair will not be present for the FEC deliberation, of course, will not vote on the case. If a staff member has the right to contest a recommendation but neither appeared before FEC nor submitted material to FEC, then, in such a case, the Department Chair remains for the full FEC hearing, may participate in the deliberations and may vote on the case. (Articles A6.18.11 and B6.18.11)

Section 11.08 Advice to Department Chair

When an original recommendation of a Department Chair is formally contested (the Department Chair did not participate in FEC's deliberation and did not vote) and FEC decided on a preliminary position which reduced or rejected the original recommendation, the FEC will ask the Department Chair to re-join the FEC meeting and advise them of the reason for disagreeing with the original recommendation. This is necessary to enable the Department Chair to take a position on the matter under Article A6.19.1 of Schedule A and Article B6.19.1 of Schedule B.

Section 11.09 Effect of Contested Cases on Schedule

Article A6.16.1 of Schedule A and Article B6.16.1 Schedule B provides: "The schedule shall provide for sufficient time for the consideration of contested cases." In establishing FEC's schedule, it should be kept in mind that cases which are not originally contested ones can become such cases by virtue of FEC not approving a recommendation of a Department Chair and preferring a decision which would then become "contested." In such a case, the staff member must be given the same rights as if the original recommendation had been a "contested" one. That is, the staff member has the right to submit materials and appear before FEC, etc. All of this takes time - and the schedule of FEC should be set keeping such possible extensions in mind. This is especially important in tenure cases, where the deadline for decision is December 20.

Article XII. Vacant

Section 12.01 Vacant

Article XIII. FEC Procedures

All members of the Faculty are expected to carry out their duties with a high standard of academic professional conduct and, where appropriate, also conform to the standards of professional conduct of their related discipline.

Any consideration of problematic academic/professional conduct and the consequences for the individual are not within the purview of FEC. Problematic and unprofessional behaviour are addressed through disciplinary procedures as outlined in the Common Agreement. FEC must set aside the consideration of personal misconduct or academic misconduct and will proceed to evaluate the staff member's performance in Teaching, Research or Service. The role of FEC is to evaluate the performance of the academic faculty member in the year under review in relation to teaching, research and service. Its role is not to evaluate the personality, manners or attitude of academic faculty members. Faculty evaluation is separate from faculty misconduct.

Section 13.01 Documents for FEC

The FEC Chair should ensure that each FEC member has or has available for use:

- a. A copy of the Collective Agreement (<https://www.ualberta.ca/faculty-and-staff/my->

[employment/collective-agreements-and-handbooks](#));

- b. A copy of this FEC Manual (<https://www.ualberta.ca/human-resource-services/managing-administration/collective-agreement-administration/academic-agreement-resources>); and
- c. A copy of the standards statement(s) approved in accordance with the provisions of Article A6.03.2 of Schedule A and Article B6.03.2 of Schedule B (inclusive of the procedures statement regarding promotion as required under Article A6.12.6 of Schedule A and Article B6.12.2 of Schedule B).

Section 13.02 Responsibility of FEC Chair re Material

The FEC Chair is responsible for making copies of material submitted to the FEC and distributing those copies to the members of FEC, to the Department Chair (where material has been submitted by the staff member), and to the staff member (where the Department Chair has submitted material in contested cases). However, when the material submitted contains confidential material, the FEC Chair's responsibility is to prepare a summary of that confidential material and provide copies of it to the members of FEC, the Department Chair, and the staff member.

Section 13.03 Witnesses

A staff member and a Department Chair may call witnesses to testify in support of their positions. Witnesses are there to corroborate or support the position of the staff member or Department Chair. They are the staff member's or Department Chair's witnesses and provide relevant information through oral testimony. They do not speak for, or in place of the staff member or Department Chair. The staff member and Department Chair must provide a list of witnesses to the FEC chair in advance of the hearing before FEC. It is the responsibility of the chair of the FEC to invite such witnesses to appear before the FEC at a stated time and place. Normally, there should be no more than one or two witnesses. The FEC chair and FEC would need to hear good reasons why anyone would want to bring more than three.

The hearing before FEC will occur in the following order:

1. The staff member, followed by the Department Chair, will make their statements;
2. FEC will ask questions of the staff member and the Department Chair;
3. The witness(es) for the staff member will testify and be subject to questioning from the FEC and the Department Chair;
4. The witness(es) for the Department Chair will then testify and be subject to questioning from the FEC and the staff member.
5. The staff member will then make a closing statement followed by the closing statement of the Department Chair.

Witnesses will only be admitted to the FEC hearing when called to testify. Witnesses should not hear each other's testimony and answers and should wait outside until called on. Upon conclusion of their testimony, they must leave the hearing room and must not be present in the hearing room when opening and closing statements are made by the staff member and the Department Chair or other witnesses are testifying. Witnesses may be recalled by the FEC to answer further questions.

Throughout the hearing process, the identity and testimony of witnesses shall be handled in such a way as to preserve the confidentiality of their testimony.

Section 13.04 Additional Detailed Procedures

Article A6 of Schedule A and Article B6 of Schedule B includes procedures which govern the

conduct of the hearing of an FEC. An FEC may wish to develop a set of procedures of its own which go beyond the specified rules and such a development is permissible so long as any regulations, policies, etc., that are approved do not conflict with the terms and conditions of the Collective Agreement. For example, an FEC may decide on the type of ballot to use in voting situations, on whether it will be a secret or open ballot.

Section 13.05 Notice in Terms of Number of Increments

The decisions of the FEC regarding increments shall be conveyed to the staff member in terms of the number of increments awarded and not in terms of the monetary value of such increments, e.g. single increment, half increment, zero increment, double increment, etc. If a zero increment decision has been reached, the advice to the staff member shall specify which of the four zero types apply. If a promotion decision is involved, this information shall also be conveyed. See Appendix "K", Templates 24, 25, 27, 28, 29, 30, 31, 32, 33 below.

Section 13.06 Motion Before FEC

There is no need for a formal motion in an individual case where there is a recommendation by a Department Chair for merit incrementation or tenure; the recommendation itself is the "motion." Under no circumstances can the Department Chair make a "motion" before FEC which varies the original, formal recommendation which was communicated to the staff member. However, under Article A6.19.1 of Schedule A, there is a possibility that the Department Chair accepts the "preliminary position" of FEC in a case and, if so, the subsequent recommendation before FEC will be different from that originally communicated to the staff member.

Section 13.07 Alteration of Schedule - FEC

There is no specific provision in the Collective Agreement for the alteration of the time limits and schedule for FEC (or events leading up to FEC) under Article A6 of Schedule A. Therefore, administrators must be rigorous in their setting of dates and in their application of deadlines under that Article. If it becomes apparent that certain deadlines cannot be met, the Dean/Department Chair should immediately contact the Director of Faculty Relations.

Article XIV. Leaves, Accommodations and Supplementary Professional Activity

Section 14.01 Leaves: General Rule

Note: When referring to six months in Article A6.05 of Schedule A, the equivalency is 26 weeks.

Leaves of any kind; childbirth, parental, compassionate, and medical add complexity to the annual evaluation of staff members. A staff member who is on some form of leave will be assessed by FEC as follows: (Article A6.05)

- a. When the childbirth, parental, compassionate, or medical leave is full time for a period of six months or less, the performance of the staff member for the non-leave portion of the year under review shall be extrapolated to a full year for the purpose of assessment. Notwithstanding the leave, increments will be awarded in accordance with Article A6.09.1 of Schedule A, as if the staff member discharged their responsibilities for the full year under review. The goal of extrapolation is to ensure that the staff member is kept "whole" in the eyes of the FEC since the staff member had experienced an approved leave during the review period.

Example: *In the case of a leave that was 5 months in length, FEC will evaluate the*

activity that occurred during the seven months of the review period that the staff member was not on leave. These months of activity will represent the normal activity of the staff member for the year under review including the period on leave. In effect, the FEC must assume that the staff member would have achieved or maintained the same level of productivity in each month of the leave period as they achieved in the 7 months of activity.

- b. The same rule will apply in the case of part time leaves which constitute 50% or less of the year under review.

Example: *A staff member takes a medical leave for the month of August and childbirth leave from September 1 to December 31. FEC will evaluate the staff member's performance based on an extrapolation of their work done in July and from January 1 to June 30 of the next year. Work done in a non-leave period of 7 months will be extrapolated to the full period of 12 months.*

- c. Periods of secondment, disability or assisted leave, or other forms of leave with pay, partial pay or no pay, of any length shall not be considered in the evaluation of performance. This rule shall apply also in the case of periods of any form of leave or combination of leaves which exceed six months of an academic year.

Example: *A staff member is on a 40% disability leave from July 1 to February 28 (8 months of the academic year). FEC will evaluate the staff member's performance based on an extrapolation of the work undertaken during the period July 1 to February 28 (8 months) at 60% FTE and the period March 1 to June 30 (4 months) at 100% FTE. In other words, the staff member would be evaluated at approximately 75 % FTE for the year ($8/12 \times 60\% + 4/12 \times 100\% = 73\%$).*

- d. Notwithstanding Article A6.05(b) of Schedule A, a staff member under Article A6.05(c) may request the Department Chair and FEC to take into account activities while the staff member was on leave. The onus is on the staff member to demonstrate to the Chair that such activity should be recognized by appending relevant materials to their annual report. A Department Chair who agrees to recognize activities carried out while on leave should be prepared to explain this decision to the FEC. When FEC evaluates activities undertaken while on leave, such consideration shall be restricted to activities undertaken during the year under review. When work on a leave of greater than 6 months in duration is recognized there will be no extrapolation.

Example: *A staff member takes childbirth and parental leave for a period of greater than 6 months. Their research productivity on leave was such that the staff member requested that their work for the leave period be reviewed (e.g. a book or an impressive article was published). Both the Department Chair and the FEC agreed that it was important to recognize and give credit for the work on leave even though the leave was greater than 6 months in duration.*

Section 14.02 Leaves: Special Standards

Notwithstanding the provisions of Section 14.01 above, an FEC may establish special criteria and standards for the performance of staff members during leave and such special measures may be established for the particular leave program of a staff member.

Section 14.03 Leaves: Extension of Probationary Period

"If an Academic Faculty member is granted one or more leaves during a probationary period and if the length or type of leave is such that it materially affects the performance on which the Academic Faculty member is to be assessed, then the probationary period shall be extended for one or more years. (Article A5.02.4)

An extension of a probationary period because of leave shall be made by the Provost on the recommendation of the Dean following consultation with the staff member. (Article A5.02.5)

In considering a recommendation for an extension of a probationary period because of leave, the Provost shall take into account the length of the leave period, the time of the year when the leave was taken and the purposes of the leave. (Article A5.02.6)

The decision of the Provost regarding extension of probationary period because of leave shall be final and binding. (Article A5.02.7) "

Further to Article A5.02.6 of Schedule A, the request for an extension can be made at any time in the first or second probationary period.

Note: An extension is normally not required in the event of a leave less than three months.

Example: *A staff member is on a 50% medical leave for six months with research duties only. The staff member may receive a one-year extension to their probationary period.*

Section 14.04 Leaves: Documentation

A staff member may be requested by their Department Chair/Dean and/or FEC to provide special documentation covering activities and performance during a leave period. Such documentation may be in addition to that which is normally required of a staff member to aid the Department Chair/Dean and FEC in the recommendation and decision process with respect to increments and promotions. Such documentation (or lack of it) will be taken into account in that process.

Section 14.05 Leaves: No Automatic Increments

Except in the case of Non-adjudicated Increments associated with childbirth and parental leaves (see Section 14.09 below), there shall be no automatic increments awarded to staff members concerning performance during leave periods. The Agreement draws no difference between staff members "on campus" and those "on leave" and states that increments and promotions are awarded on the basis of "...merit", i.e., the record of activity during the year or the portion of the year under review.

Section 14.06 Leaves: Delegate May Appear at FEC

In the event that a staff member who is on leave at the time the FEC or Provost is considering the case of the staff member and it is a case where they have the right to appear, the staff member may designate another staff member to represent them at the hearings. The staff member shall advise the Dean of such delegation, in writing. (Articles A6.18.7 and B6.18.7)

Section 14.07 Leaves: Discussion of Recommendation to FEC

Notwithstanding the general rule that the administrator who makes the recommendation to the FEC or Provost is required to discuss that recommendation with the staff member prior to submitting it, provision is made in the Agreement that such a discussion is not required if the staff member is on leave and is spending that leave off campus. (Articles A6.13 and B6.13)

Section 14.08 Leaves: Medical, Compassionate and Disability

- a. If a staff member requests that the Department Chair and FEC take into account academic activities while on a full or partial medical, compassionate or disability leave and the Department Chair agrees to do so, Faculty Relations should be notified and can assist in determining the suitability of such a request. A staff member's ability to submit an annual report while on partial leave, and whether they should be evaluated, would be dependent upon the medical assessment. If it is determined that the FEC should consider the annual report, the staff member will be added to the staff count which generates the number of increments available to the FEC.
- b. A 0.0c increment recommendation may be recorded where the staff member submits an annual report and that report represents a period of medical, compassionate or disability leave which exceeds six months of an academic year (i.e., the staff member is reporting on activities of six months or less).
- c. A 0.0c may also be recorded when a staff member is on a medical, compassionate or disability leave at the time that an annual report is requested and, as such, is not required to submit an annual report. In this instance, the staff member may wish to be reassured that there could be an adjustment made when the staff member becomes well enough to submit an annual report. In such cases, any increment recommendation will be made available as an addition to the pool.

Section 14.09 Leaves: Childbirth and/or Parental Non-Adjudicated Adjustment to Base Salary

Standard Practice per Office of the Provost and Vice-President (Academic)

- 1.1 Depending upon the length and timing of a childbirth/parental leave (and any related medical leave), the leave may have an effect on one, two or even three reporting years;
- 1.2 For each occurrence of a childbirth/parental leave (and any related medical leave), regardless of the duration, a staff member may choose to receive one non-adjudicated adjustment to base salary in one of the affected reporting years, equivalent to the average increment received in the past 3 years (or on all applicable years in the past 3 year period if the staff member has less than 3 year of service), as long as the staff member is otherwise eligible to receive merit increments.
 - a. The average increment will be rounded up or down, where applicable, to the next appropriate level (i.e. an average increment of 1.33 is rounded down to 1.25 and an average increment of 1.43 is rounded up to 1.50); and
 - b. In the case of a leave taken in the first or second year of employment, when there is no average increment history available, the principle of Article A6.11.1 of Schedule A and B6.11.1 of Schedule B, will apply (eligibility to receive 1.0 increment). For example, a staff member who was hired on July 1 and went on a childbirth/parental leave in September will receive an automatic 1.0 increment in the first year, and then a non-adjudicated adjustment could be applied in the next year.

For the calculation related to increment pool, refer to Section 5.02(f) above.

- 1.3 A staff member shall submit an annual report by the Faculty's stated deadline (unless unable to due to medical leave) and shall indicate whether they opt to:
 - a. Receive a non-adjudicated adjustment to base, regardless of the duration of the leave; or

- b. Request an FEC review in accordance with Article A6.05(a) or Article A6.05(c) of Schedule A and Article B6.05.1 or B6.05.3 of Schedule B.

If the staff member does not submit a report and is not on an approved medical leave, it is incumbent upon the FEC contact to enquire whether the staff member is aware of the availability of the non-adjudicated increment.

In accordance with Section 14.09, if the staff member is on an approved medical leave, the staff member may be reassured that there could be an adjustment made when the staff member becomes well enough to submit an annual report.

Implementation Information

1. Eligible staff member is notified of the option of a non-adjudicated adjustment to base and also provided with the value of the average increment (see Appendix “K”, Template 24)
2. The staff member is also reminded about Article A6.05(c) of Schedule A and Article B6.05.3 of Schedule B, which indicates that the staff member may ask that academic activities while on leave be evaluated. Note, that this was an important part of the discussion leading up to the final version of the new practice given that, while many felt that those on childbirth/parental leaves should not be working, we could not dictate that to staff members.
3. The staff member submits the annual report and indicates whether they are opting for a non-adjudicated increment or is opting for an FEC review.
4. The Chair confirms the value of the non-adjudicated adjustment or makes their increment recommendation as per standard process. See Appendix “K”, Template 2.

Section 14.10 Leaves: Sabbatical

Applications for a Sabbatical Leave are considered by FEC, for recommendations to the Dean, and a Sabbatical Report, following the approved Leave, is required and is attached to the annual report for the year(s) under consideration. (Article A4.03.8)

There is no automatic increment for a Sabbatical Leave. Outcomes of past Sabbatical Leaves will not be considered in the awarding of a new Sabbatical Leave because Schedule A refers to consideration of the annual applications as the basis for assessment by FEC. See Appendix “K”, Template 36 below. (Article A4.02.5)

Sabbaticals that Span Two Reporting Periods: Schedule A contemplates this situation in Article A4.03.8: “The academic faculty member shall submit a report concerning activities while on sabbatical to the Dean and, where appropriate, the Department Chair. The report shall be part of the academic faculty member’s Annual Report for the year(s) under consideration.”

The sabbatical leave should be taken into account at FEC for both reporting periods. In the first year affected (the one that covers the first months of a sabbatical), the staff member is not expected to teach or to undertake service duties during the sabbatical leave but is, of course, expected to undertake duties approved in the sabbatical program. The sabbatical report is not yet available in this first year, but the annual report is, and it is recommended that Chairs ensure they obtain additional information from the staff member, e.g. if the sabbatical has an impact on their year that needs to be explained, or a sabbatical-in-progress update. In the second year affected by the latter portion of the sabbatical leave, FEC will take into account the sabbatical report as well as that year's annual report.

Section 14.11 Accommodations

Personal or medical situations may arise during the year that will affect the performance of a staff member. Staff members will often try to “work through” these situations and, subsequently, may receive evaluations that reflect a lower personal standard of performance than in past years. When such situations arise, administrators should encourage staff members to enter into a formal agreement that can be recognized by FEC such as (a) medical accommodation or (b) temporary modified work arrangement or (c) variation of responsibilities under Article A6.04 of Schedule A. FEC may then assess the staff member’s performance on the basis of the formal modifications to their usual University duties.

Article XV. Administrative Details and Procedures

Effective August 17, 2018, staff lists and increment pools for FEC can now be created by the Dean’s Office, directly from PeopleSoft HCM (*refer to the Creating Staff List and Academic Increment Pool for FEC Training Manual*). The Dean’s office is responsible to check the lists for errors or omissions to ensure their accuracy.

Section 15.01 FEC Submission to Employment Services, Human Resource Services

With respect to its increment and promotion awards, FEC's are required to submit the following documentation to Employment Services, HRS.

- a. Academic Increment Promotion Report: a list of staff members showing the type of increment awarded. If a zero increment decision had been made, the type of zero should be specified on the form as outlined in Article A6.10 of Schedule A and Article B6.10 of Schedule B.
- b. Summary of Approved Salary Increments.
- c. Summary of Promotions
- d. Confirmation of the Provost’s approval for exceeding the 1.2 increment pool limit (if applicable).

Section 15.02 Deadline - Administration

Although the formal deadline for the submission of the material is March 31, it is recommended that the submission be made as soon as the work of the FEC has been completed, regardless of the date.

Article XVI. Records Retention Schedules and Disposal for FEC Records

The University of Alberta’s Records Management Office (RMO) continues to work on an overarching records management framework to strategically guide the creation, use, management and disposition of the University’s valuable information assets. Through this process, updated records retention schedules and disposal authorities will be produced.

In the meantime, FEC records should be kept for a minimum of Current Year plus 2 years (C+2). Sound business practices require the disposition of records in an organized and authorized manner. When FEC records have met their specified approved minimum retention periods, they can be destroyed. No records should be destroyed prior to the minimum retention period established by your Faculty’s approved Records Retention Schedules.

Appendix A. Supplementary Professional Activities

Overview

Following are suggested guidelines for FECs/Faculty Councils to assist in defining Supplementary Professional Activities (SPA), in accordance with Schedule A for Academic Faculty Members (Article A3.04.2) and Schedule D for Academic Teaching Staff Members (Appendix D.4, section 7).

It is important for Faculties to develop clear definitions and examples of SPA in order to ensure compliance with the University's Conflict Policy as well as the Code of Conduct: Employees' Obligations Respecting Conflicts of Interest (the "Code"). Information on both the Conflict Policy and the Code may be found here: <https://www.ualberta.ca/faculty-and-staff/my-employment/code-of-conduct>. The Code along with University policies and procedures and the Collective Agreement work together to define the University's ethical standards and provide staff members with principles to guide their activities and decisions.

Guidelines

1. All Academic Faculty Members and ATS Members appointed with the Contract Status of Career or Term12 ("staff members") have the right to engage in activity outside of the University, paid or unpaid, that is supplementary to their primary University responsibilities in teaching, research, and service. SPA, properly undertaken, serves the interests of the University by advancing the search for knowledge, building professional expertise, bringing field experience and insights into classrooms, and benefitting the interests of the broader community through specialized knowledge and skills.
2. Without restricting the generality of the term SPA, the definition of SPA at the University shall include: (a) employment in any capacity by another employer especially teaching; (b) consulting; (c) personal services contracts; (d) private practice of the staff member's profession.
3. SPA should relate to the staff member's area of specialization and the activity undertaken must not compete unfairly with professionals outside the University. It should not prevent, hinder or unduly interfere with the staff member's primary responsibilities.
4. A Faculty may deem SPA, and the maintenance of a professional license, to be essential to the work of the Department and, as such, the SPA may be considered as part of the staff member's primary University responsibilities subject to the Board's approval.
5. A Faculty may decide whether the time of year, week or day when SPA is performed is relevant as well as whether information about remuneration shall be included in reporting.
6. A Faculty shall define the time commitment that is acceptable for both Minor and Major SPA. As a general guide, Major SPA should not exceed 20% (1 day per week) of a staff member's time (except in those Faculties where SPA may be considered as part of the staff member's primary University responsibilities).
7. Major SPA involves a substantial commitment of staff member's time and resources in an outside activity which may detract from the satisfactory fulfillment of the staff member's primary University responsibilities.
8. By way of illustration, Major SPA will involve: teaching at another institution; a research appointment at another institution; repeated absences from the University for sustained or concentrated periods; periods of intense outside activity; and more than trivial or routine use of University resources and facilities. For better definition, Faculties should list specific activities common to their disciplines and academic culture that would constitute

Major SPA. Please note that teaching at another institution that involves occasional lectures, seminars or scholarly presentations will usually be acceptable as Minor SPA.

9. Before engaging in Major SPA, staff members first must discuss their proposed activity with their Department Chair. A staff member shall then obtain written approval of the Dean prior to undertaking Major SPA.
10. The proposal for undertaking Major SPA will involve: the nature of the proposed supplementary activity; an estimate of the associated time and commitment; the anticipated nature and use of University students, facilities and resources in the activity; the benefit or value of the activity to the staff member in the fulfillment of their University responsibilities; whether the activity creates, or may create, a conflict of interest with the interests and reputation of the University and whether it contributes in some way to the advancement of the University's mission.
11. Minor SPA does not require prior approval.
12. All SPA activity (Major and Minor) is reported on the staff member's annual report. Where an activity does not meet the Faculty's definition of SPA, the activity must be reported on the Disclosure Report for Conflicts of Interest and Commitment and will need to be assessed in accordance with the University's Conflict of Interest and Conflict of Commitment Assessment Procedure (<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Conflict-of-Interest-and-Conflict-of-Commitment-Reporting-and-Assessment-Procedure.pdf>) as well as in accordance with the Employee Code of Conduct (<https://cloudfront.ualberta.ca/-/media/hrs/my-employment/code-of-conduct/employee-code---posted.pdf#page=15>).

New Obligations under the Code

Concurrent Activities: Under the Code, these activities should be synonymous with those defined by a Faculty as SPA. If a staff member wishes to engage in concurrent activity that does not meet the definition of SPA, the activity must be approved in advance and will be reported on the annual Disclosure Report. Concurrent activity defined under the Code that must be reported on the Disclosure Report includes the receipt of any income through a research grant where the research work is not administered through the Research Services Office and does not meet the definition of SPA.

Acceptance of Invitations: Under the Code, if a staff member accepts an invitation to speak or participate in an active role at a conference, seminar, workshop, panel, or other similar engagement, and the staff member is attending in their role as a University employee or participation relates to their related academic activities, then the total cash value of attending the engagement, inclusive of all transportation, hospitality, accommodation, registration, food and beverage, and related incidentals must be reasonable in the circumstances and shall not exceed a maximum cash value of \$8,000 per engagement or \$16,000 per calendar year for engagements from a single source. If the total cash value is in excess of the above, the staff member is required to seek an exemption in writing from the Dean. Should a staff member attend an Event at which the total cash value of attending exceeds any maximum valuation set out in this Code, and there is no exemption approved in writing, the cash value of attending the Event which exceeds the maximum will be reimbursed by the staff member to the Event or to the person/entity who originally covered the cost.

Appendix B. Increment/Promotion Authorities

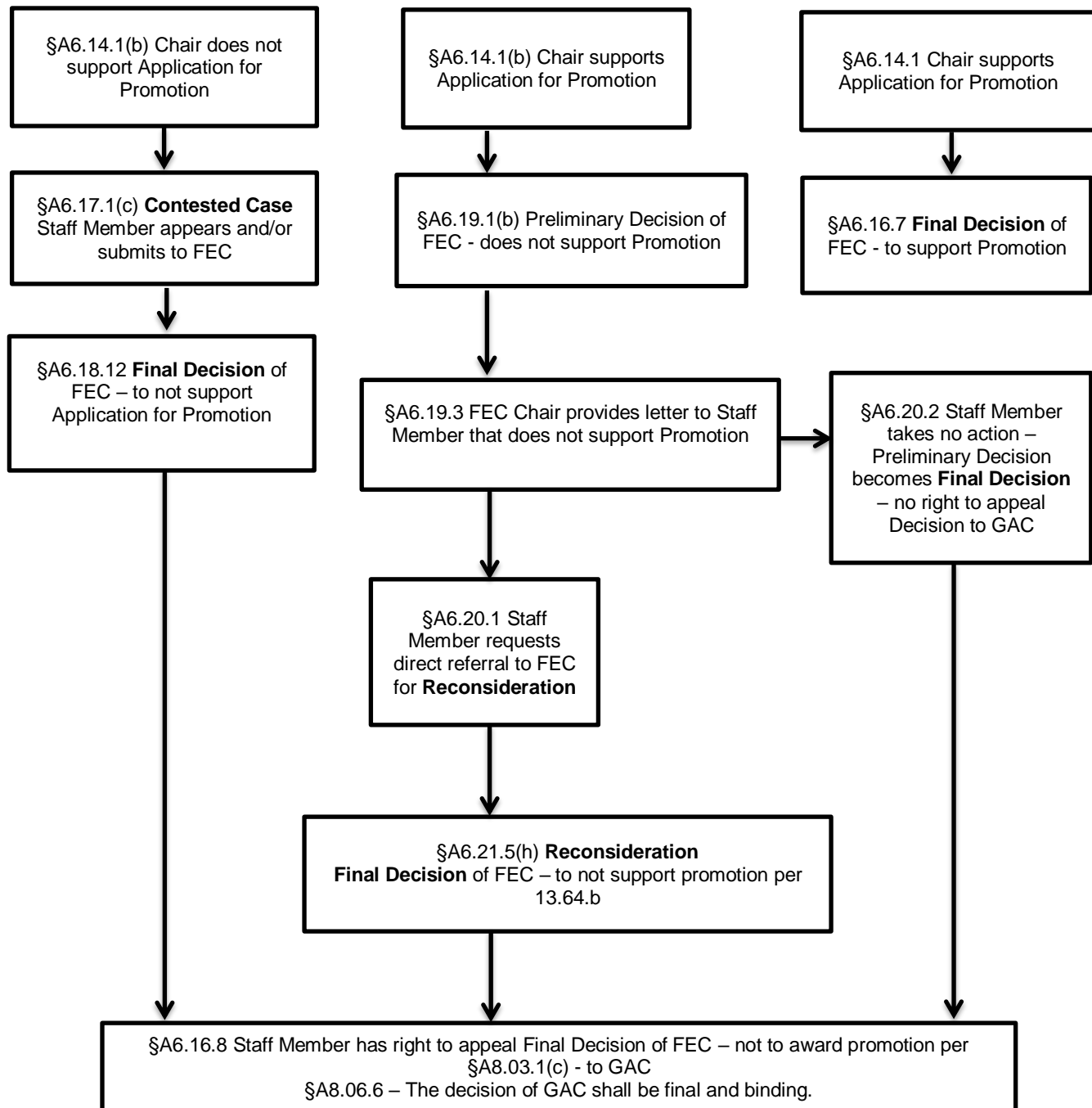
Type of Staff	Recommendation Initiated by	Reviewed by	Individual Decision by	Ratification of Totals by
<i>A. Senior Administrators</i>				
1. President	Board Chair	N/A	Board	N/A
2. Vice-President	President	N/A	Board	N/A
3. Assoc VP's (Faculty)	Appropriate VP	President	Board	N/A
4. Deans	Provost & VP (Acad)	President	Board	N/A
5. Vice-Deans	Dean	N/A	Provost & VPA	N/A
6. Chief Librarian	Provost & VP (Acad)	President	Board	N/A

<i>B. Staff Covered by Schedule A and Schedule B in Faculties</i>				
1. Department Chairs*	Dean	N/A	Provost & VPA	N/A
2. All Other Staff				
a. Departmentalized Faculties	Chair	N/A	FEC	Provost & VP (Acad)
b. Non-Departmentalized Faculties	Dean	N/A	FEC	Provost & VP (Acad)

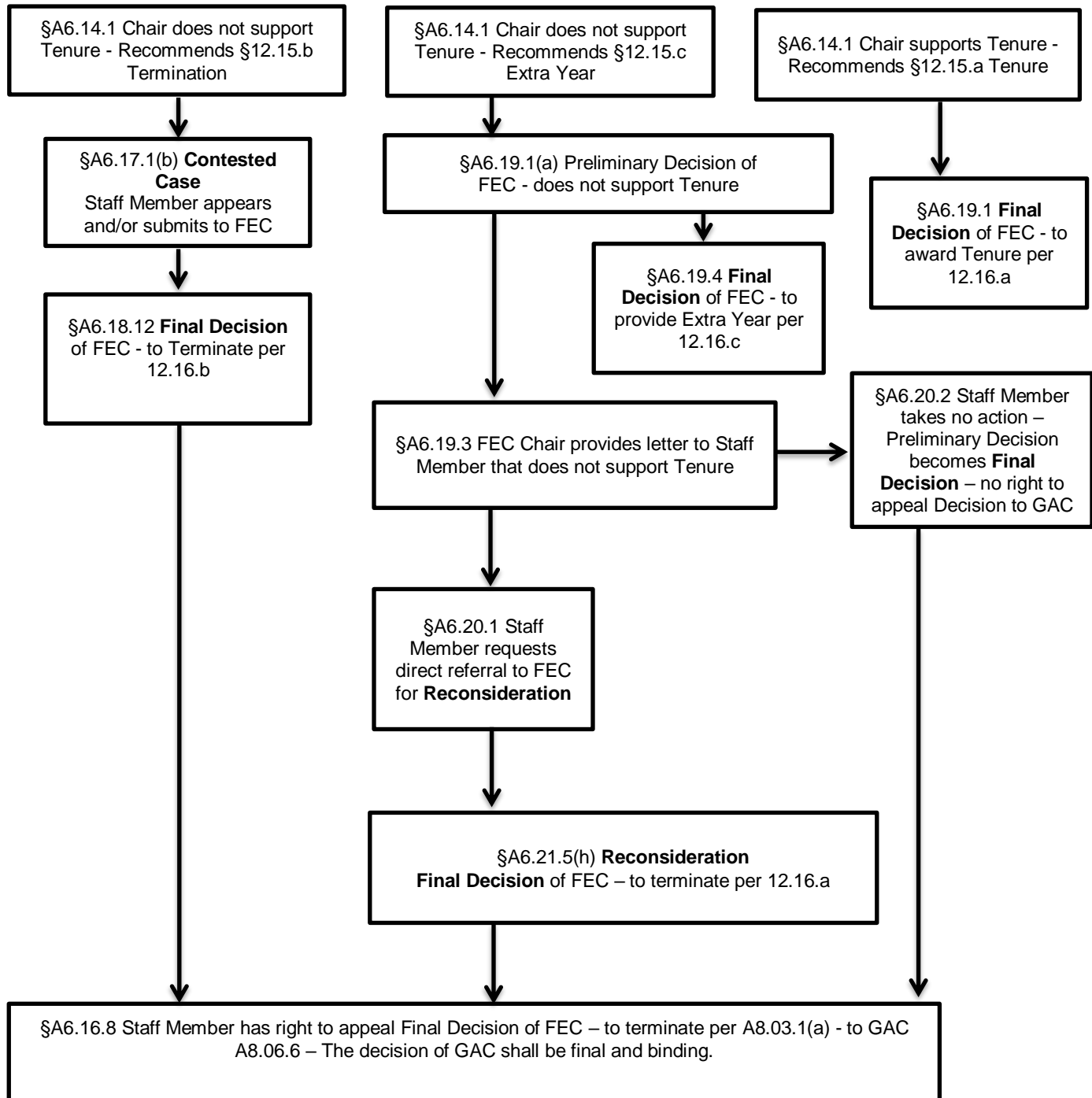
*** Deans shall submit their recommendations for Department Chair incrementation to Employment Services, Human Resource Services, by January 15th for Provost and Vice-President (Academic) approval.**

Appendix C. Actions at Application for Promotion

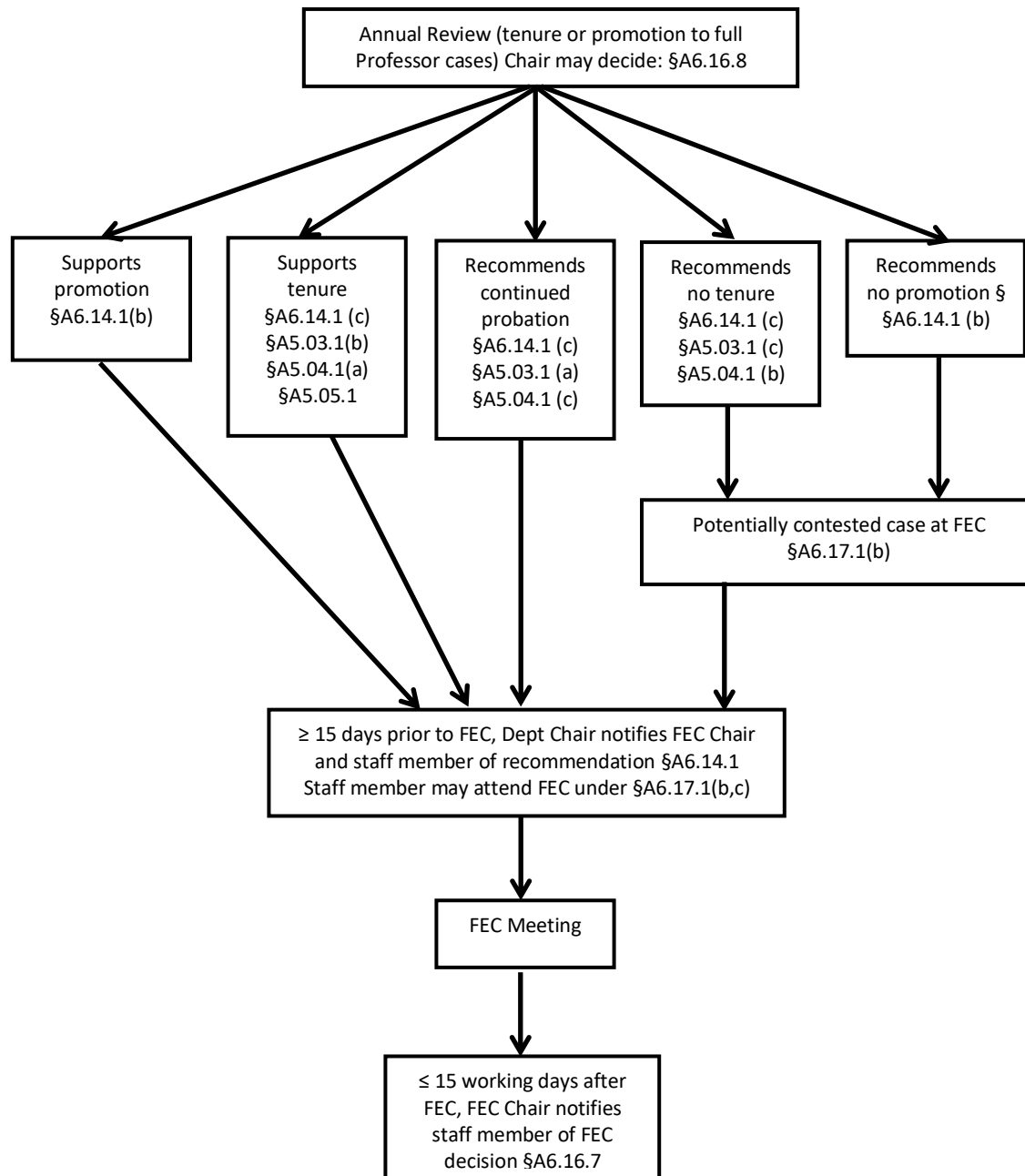
Note: Contentious case referrals to PRC have been eliminated



Appendix D. Actions at the End of the Second Probationary Period



Appendix E. FEC Process for Tenure and Promotion



Appendix F. Standards for Faculty Members Holding Administrative Positions

If available, the assessment of performance in the position should be assessed on the expectations/requirements set out in the position description. In addition, the FEC may want to look at matters such as:

- (a) leadership/planning;
- (b) personnel management (communication, motivation, open and respectful environment, staff morale, accessibility);
- (c) program management (goals, priorities, strategies for achieving them), dealing with student concerns in an effective manner, implementation of university policies;
- (d) budget management; creation and management of budget;
- (e) enhancement of program quality: maintenance of high academic standards, consistent and coherent application of faculty and university rules, demonstrated good judgment, and support for student activities.

The importance of factors such as these and others will undoubtedly vary with the administrative position but may be useful markers in evaluating performance in the position. Of course if these kinds of factors are important considerations, then the position incumbent should be addressing them in their annual report which precedes evaluation. Also see Appendix G.

Appendix G. Promotion Based on Exceptional Service

Context

The administration of the University of Alberta is based on a collegial system in which colleagues step forward to assume administrative tasks. The academy depends on recruiting within its ranks in order to ensure the smooth functioning of the institution. The task of finding people with potential has been increasingly demanding since we hire new staff who are devoted to research and teaching in a research university setting. It is not only that few of our colleagues have the administrative training or skills needed, but most place high priority on being able to conduct their research and teaching on an ongoing basis. Serving as a chair or associate dean must be carefully considered by a professor as it is a clear interruption in career pattern. Often, there is a shortage of apt volunteers and chairs and deans make great efforts to recruit the best people possible to accept these positions. In efforts to attract able people, the university has, in the past, provided incentives to enhance the importance and attractiveness of service. Honoraria, variation of duties and administrative leave are examples.

The University has considered ways to emphasize the essential nature of high quality service. In considering quality, it became clear that associate professors were being called upon to serve, and this could not be done to the detriment of their career progress and promotion. In July 2008, Article A6 of Schedule A, was amended with the approval of the University and the AASUA, specifically to address the concerns above. Previous to this change, the only routes to promotion to professor were by demonstrating strength in all areas with excellence in research and/or teaching. The significant change in Article A6.03.3(d) made it possible to promote a staff member based on exceptional service because high quality performance is vital to the institution. The ability to promote with an emphasis on service helps validate such a significant contribution to the University, facilitates recruitment and enables other staff members to be more successful.

Exceptional Service

There is no simple definition of exceptional service but it does not differ in essentials from the complexity of what defines excellent or exceptional teaching and research. Excellence implies that service goes beyond the norm or standard over a period of time, and that one did more than an adequate or even very good job. Exceptional service can be viewed both qualitatively and quantitatively. There may be a heavy administrative load involving complex issues over a sustained period which has been performed with exceptional ability. More than occupying an office, the person exceeded expectations in the performance of their duties and that the challenges of office were dealt with in positive, innovative ways which may lay the foundation for transformation. In determining excellent service, the evaluation completed by the immediate supervisor is most relevant because the supervisor has particular knowledge of the details of expectations and performance achievements, as well as confidential details, which may not be fully apparent to external reviewers or departmental colleagues. In promotion cases involving research or teaching, the members of FEC rely on the qualitative assessment of the chair, the external peer assessors and the views of department colleagues. In the case of promotion on service, where the person has substantial duties outside the department, the members of the department may not have the necessary knowledge or familiarity with the administrative duties to make an informed evaluation. In order to arrive at a determination, it is the responsibility of FEC to ensure it has consulted all materials that provide evidence of excellence in the major area of assigned duties.

Variance of Responsibilities

It is understood by the administration and the AASUA that there will be times in an academic's career where it is in the interests of the staff member and the University to vary responsibilities for a period of time. This was recognised in Article 13.03.3 of the July 1998 edition of the Collective Agreement which was renewed in 2003 and is now Article A6.04 of Schedule A of our current Collective Agreement. The variations were designed to increase responsibilities in an area while reducing them in another. The Article clearly contemplated that service was a major reason for creating variations. i.e. A6.04.3 "...shall be for periods of ...in the case (of) appointment to administrative responsibilities, for the duration of such appointment." A6.04.4 c) "...increased responsibilities in one area, e.g. ...specified administrative responsibilities..."

Article A6.04.7 states clearly that variances shall be taken into account in evaluating performance. As part of our Collective Agreement, observance of variances is required. Variations, while considered by FEC on an annual basis, must also be taken into account in any holistic consideration of a career. To not do so would be concomitant to penalizing an academic faculty member for doing what their chair or dean requested. A variance where the majority of duties involved service cannot be discounted in consideration for promotion because that would negate the record of past achievement and decontextualize the record of achievement in the other two areas.

The three traditional areas are all important in promotion. The essential question is whether the record is one of achievement sufficient to support promotion to a full professor rank, bearing in mind the variation of duties.

Appendix H. Schedule of Increment/Promotion/Tenure Events; Summary

The following is the schedule of events, which occur during the evaluation of performance process under Articles A5 and A6 of Schedule A. Some of the deadlines listed are required under the Agreement whereas others are suggested or flexible.

Event	Time(s)
A. Increments/Promotion	
1. Dean advises staff members of their “eligibility” to be considered for promotion in the up-coming hearings of the FEC.	Deadline is 3 months before FEC hearing.
2. Department Chair meets with “eligible” staff regarding promotional situation.	At least 2 months before FEC hearing.
3. Department Chair advises staff who are “eligible” for promotion of their intention <i>re</i> promotion, i.e. whether or not to support promotion to FEC.	At least 2 months before FEC hearing.
4. Where Department Chair does not intend to support promotion, the staff member advises Department Chair of whether or not an application for promotion will be submitted.	Within 2 weeks following notification in the event 3, above.
5. Department Chair meets with staff (other than those “eligible” for promotion) to review performance in the year under review.	Prior to submitting FEC documentation.
6. Staff member who is “eligible” for promotion but is not supported by Department Chair submits application for promotion.	At least 4 weeks prior to FEC hearing.
7. Department Chair submission of recommendation statements to FEC <i>re.</i> all staff.	At least 15 days prior to FEC hearing (A6.14.1).
8. Meeting of FEC	Dates must bear in mind the requirement that tenure/probation decisions must be made by December 20 (A6.16.1(a)) and all increment/ promotion decisions must be made by March 10 (A6.16.1(b)).
9. FEC submission to Employment Services.	As soon as possible following FEC meetings; deadline is March 31 .
10. Increment/promotion decisions	As soon as possible following decisions; appealable cases to be conveyed first.
B. Tenure	
1. Department Chair meets annually with the staff member on probation and advises of progress toward tenure (A6.13; A6.14.3).	In the Fall of each year.
2. Department Chair submits recommendation to Dean or FEC, copy to staff member (A6.14.1).	At least 15 days before hearing of FEC (mid-November at the latest).
3. In the last year of a probationary appointment, the Department Chair meets with the staff member and advises of the recommendation they will make regarding continuation of appointment.	By mid-November at the latest.
4. In contested cases (where recommendation is for no further appointment), staff member advises of intent to appear at FEC hearing and/or submits material to FEC. (A6.17.2)	At least 10 days before hearing of FEC.
5. Department Chair submits material in response to submission of staff member. (A6.17.3)	At least 5 days before hearing of FEC.
6. Decision a. by Dean, if decision is to grant a staff member a second probationary appointment (A5.03.2(a)).	By December 20, at the latest (A6.16.1(a)). By January 31, the Probation and

Event	Time(s)
b. by FEC, in all other cases (A5.03.4, A5.04.2, A5.05.1).	Promotion/Tenure Report must be provided to Employment Services, HRS.
7. Advice to staff member of the decision of Dean or FEC.	As soon as possible after decision is reached, and normally within 15 days of the decision (A6.16.7).
<i>C. Appeals</i>	
1. Submission of statement of appeal to GAC by the staff member <i>re.</i> decision of FEC. (A8.04.5)	No later than 10 days after the decision by FEC is mailed to the staff member.
2. Chair of GAC shall request of respondent copy of all materials submitted to FEC (A8.04.6).	"As soon as reasonably possible" following receipt of letter under 1.
3. Respondent submits to Chair of GAC all material submitted to FEC (A8.04.7).	Within 5 days of the request under 2.
4. Chair of GAC provides indexed copy of respondent's material under 3 to appellant (but not confidential material). (A8.04.8)	"As soon as reasonably possible" upon receipt of material under 3.
5. Hearing of GAC (A8.04.15 & A8.04.16)	No earlier than 6 weeks after filing of appeal by appellant under 1. GAC Chair gives at least 10 days' written notice to appellant and respondent.
6. Decision of GAC (A8.06.7).	Not later than June 30 .

Appendix I. Process for Failure to Provide an Annual Report

1. Notice is sent to all staff providing the date when all Annual Reports are to be submitted;
2. An email reminder is sent to any academic faculty member who fails to submit by the deadline;
3. Should the staff member fail to comply, then a letter will be sent to the staff member indicating that disciplinary action may ensue (see Appendix “K”, Template 1);
4. The staff member will be called to a meeting with the Dean (and someone from Faculty Relations). The staff member should be advised of their right to have an AASUA advisor since discipline may be involved.
5. The department chair will submit a letter to FEC indicating that they are unable to evaluate or make a recommendation for the non-compliant staff member;
6. A 1.0 merit increment is removed from the increment pool of the department chair and the FEC proceeds as usual;
7. FEC deliberations proceed without consideration of the non-compliant staff member;
8. An Article 7 complaint for a non-compliant staff member should be issued either before or at the start of the FEC deliberations.

Appendix J. Guidance on External Assessments/References for Academic Faculty Members

Introduction

In the pursuit of excellence in its mission, the University is committed to rigorous standards of performance (achievement) on the part of its academic faculty members in research, scholarship and creative activity, teaching, and service. This commitment informs the annual evaluation of faculty performance, and faculty tenure and promotion standards and processes.

A key element in tenure and promotion is the critical evaluation of academic faculty members' research, scholarship and creative activity by "arm's-length" external referees/assessors selected for their reputation and recognized knowledge of particular fields and disciplines. The opinions of external referees are critical in assessing the originality, rigour, significance, impact, and future promise of academic faculty members' research, scholarship and creative activity when academic faculty members are being considered for tenure or promotion to the rank of full professor. Only an assessment by arm's-length peers can provide the University with the necessary assurance that the research, scholarship and creative activity is significant and that the academic faculty member is or will become a leader in their field.

Principles of External References

Given the significance of external references/evaluations to the tenure and promotion processes of the University, great care must be taken in the identification and selection of external evaluators and in securing critical, informed, balanced, objective assessments on which to base decisions of importance both to the academic faculty member and to the academic mission of the University.

In the identification and selection of external assessors/referees, the fundamental concerns involve the ability (competence) and objectivity (independence) of referees to provide an appropriate reference or evaluation. Across the University, practices seem to vary in relation to the selection of external referees; there is no University standard or set requirement concerning such matters as the number of external referees or the selection of referees. Faculty standards and practices are different depending on the discipline or field.

Nevertheless, a review of the literature and the standards and processes of other universities reveals a number of matters that should be considered when dealing with the external assessment of academic faculty members for tenure and promotion purposes.

1. Number of External Referees

Based on a review of the literature, it appears that a common standard for the number of external references is five or six. Three external referees appears low in light of practices at other universities.

However, the number of external referees or assessors will be influenced by the field or specialty of the academic faculty member as, in some cases, the referee pool may be limited. Therefore, it is recommended that the number of external referees should be no less than three and no more than five.

2. Selection of External Referees

There appears to be some variation among Faculties concerning the identification and selection of external referees. In some cases, the academic faculty member in question submits a list of referees who are capable of providing a reference and in other cases, the Dean (or Chair) selects the referees perhaps after consultation with the academic faculty member to ensure that there are no legitimate concerns about potential referees.

While the variation in practices and processes is understandable given that tenure and promotion is a Faculty, not a University, decision, there ought to be some degree of commonality across the University.

In selecting external assessors or referees, the following concerns should be addressed:

- a. **External evaluators must be arm's-length from the academic faculty member:** this includes persons in the following categories: co-author, co-instructor, former or current collaborator, co-investigator on a grant, mentor or advisor, thesis supervisor, former student and persons in family or close personal relationships beyond professional collegiality. In some instances, thesis supervisors, former research collaborators and Faculty colleagues, and persons involved in past personal relationships may be considered provided that more than 5 or 6 years have elapsed and the nature of the past relationship is disclosed;
- b. **Ideally, for both tenure and promotion cases, the external referee should hold the rank of full professor.** That may not be possible in tenure cases where some evaluators may be associate professors with tenure. However, In the case of promotion to full professor, the external referees must all be at the rank of full professor with tenure;
- c. **In both tenure and promotion to full professor cases, the external referees must be of recognized standing and distinction and have the qualifications necessary to undertake an informed, objective assessment of an academic faculty member's research, scholarship and creative activity.** When faculty are asked to submit a list of possible referees, they should explain why the nominees are well qualified to provide the evaluation or reference. A good rule of thumb in this respect is provided by the Guidelines of the University of Chicago: "[l]etters should be solicited from those who are at peer institutions and are recognized as being the most distinguished people in the field". Further, when a Faculty looks to global or international recognition in conjunction with promotion to full professor, at least some of the external referees should be drawn from peer institutions in other countries.
- d. **When the Dean/chair prepares a list of possible external evaluators who meet the expected standards of rank, qualifications, competence and objectivity, it should be shared with the academic faculty member who may challenge an evaluator for possible bias.** However, as this may compromise the anonymity of the external assessors, the academic faculty member should be asked to identify persons whose objectivity is challenged.
- e. After formal or informal consultation with the academic faculty member, the Dean/Chair will finalize the list of referees who will be contacted to provide references/evaluations. **In all cases, external referees should be asked to respond directly to a question concerning whether they know the academic faculty member, and if so, in what capacity and for how long?**

3. Confidentiality

External references or evaluations are confidential documents which will be shared with the Dean, the Chair, and the members of the Faculty Evaluation Committee (FEC). In limited circumstances, the references may be provided to University appeal or review bodies. **In the letter soliciting or confirming an external reference the referee should be assured of confidentiality to the extent permitted by law.** Faculties may consider asking referees to submit their assessment under a separate letter of transmittal which can be removed should disclosure of a summary of references be required in a later review or appeal proceedings.

4. Content of Reference or Evaluation Letters

Reference or evaluation letters can take a number of forms. In order to ensure that the external reference provides necessary information, many universities ask their referee to

address specific questions or matters such as:

- the referees' impressions about the quality, quantity, focus, originality and scholarly influence/impact of the academic faculty member's works. What are the specific contributions that the candidate has made to the field/discipline in which they work?
- whether any of the academic faculty member's works are outstanding? [Michigan], Do they "constitute essential reading for others who work in the field" [University of Chicago]?
- the academic faculty member's standing in relation to others in their peer group working in the same field? Or, who are the scholars doing the most important work in the field and how does the academic faculty member's work compare to theirs?
- The academic faculty member's service to their discipline, ie. work on national committees, or as a peer reviewer, editor of reputable journal or similar activities.
- whether the academic faculty member's work, record of achievement would merit consideration for tenure or promotion at the referee's institution?

Other universities take a different approach asking for a critical, balanced evaluation of the academic faculty member's work in the context of the either or both the University's and the Faculty's tenure and promotion standards. For example, in addition to suggesting specific questions, the University of Chicago asserts a general guiding principle for appointments and promotions: "[e]very appointment, reappointment, and promotion must be solidly grounded in actual accomplishment which, when coupled with evidence of future promise, gives rise to a strong likelihood that the candidate will bring continued and increasing distinction to the University over the entire course of the candidates career."

The University of Saskatchewan has developed University Standards which frame evaluation in the following terms:

- "Evaluation address the quality and significance of the work."
- "There must be compelling evidence of significant achievement in scholarly activity"
- "Candidates will demonstrate...that the results of their research, scholarly and/or artistic work have made a contribution sufficient, to be recognized as substantial by authorities in the field in other part of Canada or other countries as appropriate".

At Saskatchewan, University wide standards can be augmented by college standards in non-departmentalized Faculties.

Further examples could be provided but it is clear that for external evaluation to be effective guidance must be given to the referees in the form of a statement of the University's standards augmented by Faculty standards or criteria of performance. Unlike other universities, the University of Alberta does not have a clear or strong overarching statement of expectations in relation to faculty performance except for "[a] staff member shall be a scholar, active in teaching, in research and in service". (Article A2.01.1 of Schedule A) Article A6.03.3 of Schedule A, offers some further but limited guidance in relation to performance for tenure and promotion; "[f]or tenure, the staff member must demonstrate a strong record of achievement in teaching and research" and "[f]or promotion to professor the staff member must demonstrate a strong record of achievement in teaching, research and service, including excellence in teaching and/or research...."

Schedule A clearly expects that the detailed standards of performance and criteria for evaluation in tenure and promotion cases will be expressed in Faculty specific Standards of Performance approved by each Faculty Council. While Faculty standards are constrained by the terms of the Collective Agreement, there exists a degree of variance across the University's Schools and Faculties.

Accordingly, it is suggested that the letters to external referees seeking a reference or evaluation must set out both the University Standards and the relevant Faculty Standards. To be more effective these standards should be spelled out in the engagement letter buttressed, if necessary, by a weblink to Schedule A and/or the Standards of the particular Faculty. In addition, some emphasis should be placed on the University rule that the entire record of the academic faculty member will be the subject of evaluation (and not just the record since tenure) and that the external evaluation will be primarily directed towards an assessment of the academic faculty member's research record if the academic faculty member's area of excellence is research, scholarship and creative activity. If the area of excellence is teaching or service, the referee should be asked to make comment on the teaching or service activities of the candidate for tenure or promotion. In short, we ask that Faculties craft letters to external assessors with supporting materials that reflect their expectation of assessors in terms of the academic faculty member's indicated areas of excellence and strength.

Finally, the letter seeking the reference may advise that an evaluation which merely describes the candidate's accomplishments or achievements, offers general praise, and does not engage in critical analysis of their areas of excellence and strength is of limited value and will play little role in the decision-making of the Faculty Evaluation Committee. There should be a detailed assessment of the strengths and weaknesses of the candidate's record.

Ideally, two letters should be employed for external referees: the first asking the potential referee whether they would be willing to participate and the second following up on the agreement to serve as an external referee. Using two letters allows the Faculty to keep track of those who are willing to provide a reference and those who are not including the reasons why they were unable to provide a reference.

Please remember that the templates provided are designed to serve as models and not to direct a particular form of letter that must be utilized. Faculties are expected to change the content of letters to external referees to reflect Faculty/Department needs and circumstances. See the template letters for external assessors in Appendix K.

Appendix K. Template Letters

Annual Report

Template 1 Failure to provide an annual report

Staff who take Childbirth/Parental Leaves

Template 2 Annual evaluations of staff who take childbirth/parental leaves

External Referees for Tenure or Promotion to Professor

Template 3 Requesting assistance in serving as an external referee

Template 4 Follow-up to external referee

End of First Probationary Period

Template 5 Department Chair recommends second probationary period and Dean supports recommendation

Template 6 Department Chair recommends tenure and FEC offers a second probationary period

Template 7 Department Chair recommends that no further appointment be offered and staff member is advised of the right to appear before FEC and contest the decision

Template 8 Department Chair recommends that no further appointment be offered and staff member appears before FEC to contest Chair's recommendation and final decision of FEC is that no further appointment be offered

Template 9 FEC makes preliminary decision that no further appointment be offered and staff member appears before FEC's reconsideration meeting and FEC upholds preliminary decision that no further appointment be offered

End of First or Second Probationary Period

Template 10 Department Chair recommends tenure and FEC supports recommendation

End of Second Probationary Period

Template 11 Department Chair recommends that no further appointment be offered and staff member is advised of the right to appear before FEC and contest the decision

Template 12 Department Chair recommends tenure and FEC's preliminary position is that no further appointment be offered

Template 13 Department Chair recommends a one-year extension and FEC's preliminary decision is that no further appointment be offered

Template 14 FEC makes preliminary decision that no further appointment be offered and staff member appears before FEC's reconsideration meeting and FEC upholds preliminary position that no further appointment be offered

Template 15 Department Chair recommends a one-year extension and FEC supports recommendation

Template 16 Department Chair recommends tenure and FEC extends second probationary period by one year

Template 17 Department Chair does not support tenure and staff member appears before FEC to contest the Chair's decision and final decision is to award tenure

Promotion to Professor

- Template 18 Department Chair supports application for promotion and FEC awards promotion
- Template 19 Department Chair supports application for promotion and preliminary position of FEC is to deny promotion
- Template 20 Department Chair does not support promotion and staff member is advised of the right to appear before FEC and contest the recommendation
- Template 21 Department Chair does not support promotion and staff member appears before FEC to contest the Chair's recommendation and the final decision of FEC is to deny promotion
- Template 22 Department Chair opposes application for promotion and FEC awards promotion

Merit Increments

- Template 23 New appointments between July 1 and October 1
- Template 24 New appointments between October 2 and June 1
- Template 25 Non-adjudicated increment for staff who take childbirth/parental leaves
- Template 26 Department Chair recommends single/multiple increment and FEC supports recommendation
- Template 27 Department Chair recommends single/multiple increment and FEC decides on higher increment
- Template 28 Department Chair recommends a single increment and FEC's preliminary position is less than the Chair's recommendation and staff member appeared before FEC
- Template 29 Department Chair recommends less than a single increment
- Template 30 Department Chair recommends less than a single increment and FEC's preliminary position is less than the Chair's recommendation
- Template 31 Department Chair recommends less than a single increment and FEC at reconsideration lowers the Chair's recommended increment
- Template 32 FEC concurs with Department Chair's increment recommendation of less than a single increment and staff member appears before FEC
- Template 33 FEC concurs with Department Chair's increment recommendation of less than a single increment and staff member does not appear before FEC
- Template 34 Department Chair recommends single/multiple increment and FEC decides on less than a single increment
- Template 35 Department Chair recommends single increment and FEC decides on less than a single increment and staff member appears before FEC
- Template 36 Department Chair recommends multiple increment and FEC decides on lower increment but not less than a single increment

Template 37 Department Chair recommends a 0D increment for the second time in three years

Template 38 Department Chair recommends no increment and FEC decides on a 0D increment

Sabbatical

Template 40 FEC recommends approval of sabbatical and Dean accepts FEC's recommendation

Template 1 <UPDATED>

Failure to Provide an Annual Report

To: Staff Member
From: Department Chair (or Dean)
Subject: Annual Report Not Provided

Annual Reports are required to be submitted by all Academic Staff Members. You were notified of this requirement to submit a report in the required form on [enter date]. You were subsequently reminded of this requirement on [enter date] . Failure to submit an annual report is subject to disciplinary action.

You have until [enter date] to submit your report. After that date, appropriate action will be taken.

c Department Chair
Faculty Relations
Employment Services, HRS

Template 2

Annual Evaluations of Staff who take Childbirth/Parental Leaves

<If possible, eligible staff members should receive this information at the time of their leave>

To: Staff Member
From: Dean/Vice-Dean/Chair (or designate)
Subject: **Childbirth/Parental Leaves**

I am writing to advise you of a new University-wide standard practice for Annual Evaluations of Staff who take Childbirth/Parental Leaves:

Standard Practice per Office of the Provost and Vice-President (Academic):

- 1.4 Depending upon the length and timing of a childbirth/parental leave (and any related medical leave), the leave may have an effect on one, two or even three reporting years.
- 1.5 For each occurrence of a childbirth/parental leave (and any related medical leave), regardless of the duration, a staff member may choose to receive a non-adjudicated adjustment to base salary, equivalent to the average increment received in the past 3 years (or on all applicable years in the 3 year period if the staff member has less than 3 years of service), as long as the staff member is otherwise eligible to receive merit increments.
 - a. The average increment will be rounded up to 1.0 where applicable; and
 - b. In the case of a leave taken in the first or second year of employment, when there is no average increment history available, the principle of Article A6.11.1 of Schedule A will apply (eligibility to receive 1.0 increment).
- 1.6 A staff member shall submit an annual report by the Faculty's stated deadline (unless unable to due to medical leave) and shall indicate whether they opt to:
 - a. Receive a non-adjudicated adjustment to base, regardless of the duration of the leave; or
 - b. Request an FEC review in accordance with Article A6.05(a) or Article A6.05(c) of Schedule A.

If the staff member does not submit a report and is not on an approved medical leave, it is incumbent upon the FEC contact to enquire whether the staff member is aware of the availability of the non-adjudicated increment.

In accordance with Section 14.09 of the *Reference Manual for FECs*, if the staff member is on an approved medical leave, the staff member may be reassured that there could be an adjustment made when the staff member becomes well enough to submit an annual report.

Schedule A includes general policies with respect to evaluation options related to leaves:
Evaluation Options under the Collective Agreement related to Leaves:

- A6.05 *An Academic Faculty member who is on leave during the period of review will be assessed by FEC as follows:*
- a) *Discontinuance of academic responsibilities during periods of Maternity Leave, Parental Leave, Compassionate Leave, and Medical Leave (when the total of such periods of full-time leave is 6 months or less or part-time leave of 50% or less over the 12 months of an academic year) shall require the extrapolation of the performance for work done in the year to a full year. Increments will be awarded in accordance with Article A6.09;*

- b) *Periods of secondment, disability leave, Assisted Leave and other forms of leave with pay, with partial pay or with no pay of any length (as well as periods of any form of leave, or combination of leaves, which exceed 6 months of an academic year) shall not be considered in the evaluation of performance;*
- c) *Notwithstanding Article A6.05(b), an Academic Faculty member may request the Department Chair and FEC to take into account academic activities while on leave. The onus shall be on the Academic Faculty member in material appended to the Annual Report to demonstrate to the Department Chair why such activity should be recognized.*

The details of your eligibility for a non-adjudicated adjustment to base salary are as follows:

Dates of Leave: [enter dd/mm/yyyy to dd/mm/yyyy]

Average Increment Received over the Past 3 years: [enter increment value]

When you submit your annual report, please indicate whether you are opting for a non-adjudicated increment OR whether you are opting for an FEC review (either under Article A6.05(a) or Article A6.05(c) above).

Your Chair will then complete the 'Summary Assessment' and confirm the value of the non-adjudicated adjustment or will make their recommendation as per standard process.

Please let me know if you have any questions.

- c Department Chair
Faculty Personnel File
Employment Services, HRS

Template 3

External Referee Requesting Assistance in Serving as an External Referee

[enter name of referee]
[enter address]

Dr, [enter name of staff member], Assistant Professor of [enter department] is being considered for tenure with promotion to the rank of Associate Professor in the Department of [enter department], Faculty of [enter Faculty], University of Alberta.

As Chair (Dean, Chair of FEC) of the [enter Faculty or Department], I am responsible for seeking evaluations from distinguished colleagues, such as yourself, who are well qualified to judge the candidate's research, career development and contributions to the field. Therefore, I am writing you to ask whether you would be willing to serve as an evaluator of the significance and quality of their scholarly work.

Faculty at the University of Alberta are awarded tenure (promoted to the rank of professor) on the basis of their research, scholarship and creative contributions, teaching accomplishments and service. Recognition of the significance and quality of their research and scholarly work is a vital factor in the review process. As a person of stature in the field we value your candid and balanced assessment of [enter name of staff member]'s research achievements and future promise, including an assessment as to the negative and positive aspects of their research and scholarly record. Your professional judgement will play a very important part in the evaluation of [enter name of staff member] for tenure (promotion). We hope that you are willing to undertake this important task.

[Note: The Faculty or department can send a C.V. at this point or wait until the potential referee has accepted]

If you are willing to assist in this way, I will send you the candidates current CV, copies of the candidates significant scholarly work or examples of creative works *[in hard copy or perhaps by web link with a password which will be sent to you by separate email]*, together with the University's and Faculty's standards for tenure and promotion.

As we are working within the confines of timelines set by Faculty standards and Schedule A, we would need to have your assessment by September 1 or 15 *[depending on when the request was sent]*.

Thank you for considering our request. I look forward to hearing from you at your earliest convenience.

c. Faculty Personnel File

Template 4 <UPDATED>

Follow-up to External Referee Tenure or Promotion to Professor

[enter name of referee]

[enter address]

Thank you for agreeing to serve as an external referee in the [enter tenure or promotion to the rank of Professor] review of Dr. [enter name of staff member], [enter Assistant or Associate Professor] in the [enter name of department], [enter name of Faculty], University of Alberta. Your scholarly and professional judgments will play an important part in our assessment (evaluation) of Dr. [enter name of staff member] for [enter tenure or promotion].

As an external referee you are being asked to evaluate (assess) whether Dr. [enter name of staff member]'s scholarly performance meets the standards expressed in Article A6 of Schedule A and the Academic Faculty standards which govern the granting of [enter tenure or promotion]. *[Provide copy of these standards or access to standards through a web link]*. While faculty at the University of Alberta are granted [enter tenure or promotion] on the basis of research, scholarly, (creative work or performance), teaching and service we ask that you focus your evaluation on the candidate's research and scholarly work. *[The foregoing sentence should be amended to request that the evaluator comment on teaching, teaching scholarship, or maybe even service when those elements comprise a major part of the tenure or promotion application and on the material provided the assessor can make an informed comment]*.

An appointment with [enter tenure or promotion to the rank of Professor] requires a review and assessment of the candidate's research and scholarly work (creative work) by at least [enter number of external referees required by Faculty] senior academics of high standing drawn from comparable institutions. These external referees must be at arms-length from the candidate; they must not be a current or former colleague, a research collaborator, a thesis supervisor, a client, employer, or close friend of the candidate.

The quality and significance of the research and scholarly work must be assessed on the basis of the relevant University and Faculty standards. Of particular importance will be your candid assessment of the impact and significance of the candidate's research and scholarship; an appraisal of their research abilities and achievements; the quality of their publications; their standing in the field (national and international); their potential for sustained growth and achievement in the future; and whether they would be ranked among the promising and capable scholars in their cohort. *[Again, this wording should be changed when a strong record in teaching or teaching scholarship is an important element in the tenure and promotion application]*

Your evaluation will be shared in confidence with academic faculty members, Chairs, and Deans as members of the Faculty Evaluation Committee (FEC) involved in the [enter tenure or promotion] process. That said, your assessment will be treated as strictly confidential since our Collective Agreement expressly provides that confidential academic evaluations will not be provided to the candidate. Further, under the *Alberta Freedom of Information and Protection of Privacy Act*, the University has the discretion not to disclose any evaluative or opinion material for the purpose of determining a candidate's qualifications for employment when the information is provided in confidence. Every effort is made to protect the confidentiality of academic evaluations. Should it be necessary as part of a review or appeal process, the candidate may be provided with redacted summaries of evaluations which have been anonymized.

Finally, I close with several requests. Please provide a copy of your own CV for the benefit of the members of the Faculty Evaluation Committee (FEC) who are not familiar with [enter discipline or sub speciality]. In your letter of assessment, please confirm that there is an arms-length professional and personal relationship between you and the candidate. To ensure the timely progress of the review, please provide us with your evaluation no later than [enter date - consistent with letter of request], and to protect confidentiality, please mark your letter of evaluation "personal and confidential".

We are extremely grateful for the time and effort you have taken to assist us in this vital collegial undertaking. We are in your debt.

c. Faculty Personnel File

Template 5 <UPDATED>

End of a First Probationary Period

Department Chair recommends second probationary period

Dean supports recommendation

(Articles A5.03.1 and A5.03.2)

To: Staff Member
From: Faculty Dean
Subject: **Second Probationary Period**

I am pleased to inform you that I support your Department Chair's recommendation that you be granted a second probationary period. Pursuant to Article A5.03.2(a) of Schedule A, this decision is final and binding.

In accordance with the provisions of Article A5.02.8 of Schedule A, your second probationary appointment will be for the two-year period July 1, [enter yyyy] to June 30, [enter yyyy]. Your appointment will be governed by the Common Agreement and Schedule A, as amended from time to time.

Under Article A6.03.9 of Schedule A, the standards for the award of tenure and concurrent designation as associate professor applicable to you shall not be changed unless you have agreed to the change. I encourage you to remain familiar with the standards for tenure and promotion of the Faculty and understand the expectations of your Department Chair.

- [insert specific comments]

Let me thank you for your contributions to the University during your previous probationary appointment, and wish you great success during the coming year.

c Department Chair
Faculty Personnel File
Employment Services, HRS

Template 6 < UPDATED >

End of a First Probationary Period
Department Chair recommends tenure
FEC offers a second probationary period (Article A5.03.4(a))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Second Probationary Period**

This is to inform you that the Faculty Evaluation Committee (FEC) did not support your Department Chair's recommendation that you be awarded tenure. Instead, you will be granted a second probationary period. Pursuant to Article A6.20.1 of Schedule A, this decision is final and binding.

In accordance with the provisions of Article A5.02.8 of Schedule A, your second probationary appointment will be for the two-year period July 1, [enter yyyy] to June 30, [enter yyyy]. Your appointment will be governed by the Collective Agreement, as amended from time to time.

Under Article A6.03.9 of Schedule A, the standards for the award of tenure and concurrent designation as associate professor applicable to you shall not be changed unless you have agreed to the change. I encourage you to continue to be familiar with the standards for tenure and promotion of the Faculty and understand the expectations of your Department Chair.

- [insert specific comments]

Thank you for your contributions to the University during your previous probationary appointment, and I wish you great success during the coming year.

c Department Chair
Faculty Personnel File
Employment Services, HRS

Template 7 <UPDATED>

End of a First Probationary Period

*Department Chair recommends that no further appointment be offered
Staff Member is advised of the right to appear before FEC and contest the decision
(Articles A5.03.1(c) and A6.17.1(b))*

To: Staff Member
From: Faculty Dean
Subject: **FEC Preliminary Position on Tenure**

This is to inform you that as Dean, I have received your Department Chair's recommendation that no further appointment be offered to you. As such, the decision regarding the granting of a second probation period has been referred to FEC. Under Article A6.17.1 of Schedule A, you have a right to appear before FEC to contest the recommendation.

Should you wish to provide a written submission to contest the recommendation, the following information is to be included in your package by [enter date]:

- a) a statement advising FEC whether or not you will be appearing before FEC to present a case;
- b) any material in response to the Chair's recommendation as communicated to you under Article A5.03.1 of Schedule A, and any other material relevant to the case;
- c) a list of names of persons who shall attend the contested hearing as witnesses for you; and
- d) a statement indicating your minimum acceptable decision by FEC.

At the same time, a copy of this material must be provided to your Department Chair. Materials submitted to the FEC Chair and Department Chair should be submitted electronically, if feasible.

If FEC supports your Department Chair's recommendation, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Department Chair
Faculty Personnel File
Faculty Relations

Template 8 <UPDATED>

End of a First Probationary Period

*Department Chair recommends that no further appointment be offered
Staff member appears before FEC to contest the Chair's recommendation
Final decision of FEC is that no further appointment be offered
(Articles A6.16.7, A6.16.8, A6.18.12, ~~43.82~~, 15.15)*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Position on Tenure**

This is to inform you that the Faculty Evaluation Committee (FEC) supports the Chair's recommendation and has made the decision that you receive no further appointment at the end of your first probationary period. Thus, your appointment with the [enter department] at the University of Alberta will terminate effective June 30, [enter year].

The issues of concern to FEC were as follows:

- [enter issues]

You may wish to consider the following options:

- Given that you appeared before the FEC to contest your case, under Article A6.16.8 of Schedule A, you have the right to appeal this decision to the General Appeals Committee (GAC). A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of this letter in accordance with Article A8.04.5 of Schedule A.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) in this respect.

Should you choose not to appeal your case through GAC, or if GAC does not uphold the appeal, you are entitled pursuant to Article A5.06 of Schedule A, to receive a severance equal to one month's salary for each year of service as a staff member. Please contact [enter name] at 780-[enter phone number] in Payroll Operations, Human Resource Services to determine the amount of your severance and to discuss how you would like to receive payment.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Dean
Department Chair
Faculty Personnel File
Faculty Relations
Employment Services, HRS

Template 9 <UPDATED>

End of a First Probationary Period

FEC makes preliminary decision that no further appointment be offered

Staff member appears before FEC's reconsideration meeting

FEC upholds preliminary decision that no further appointment be offered

(Articles A6.16.8, A8.04.5)

To: Staff Member

From: Chair, Faculty Evaluation Committee

Subject: **Reconsideration of FEC Preliminary Position that No Further Appointment Be Offered**

This is to inform you officially that, following reconsideration on [enter date] of its preliminary position established at its meeting on [enter date], the Faculty Evaluation Committee (FEC) has reconfirmed its preliminary position that you receive no further appointment at the end of your probationary period. Thus, your appointment with the [enter department] at the University of Alberta will terminate effective June 30, [enter yyyy].

Given that you appeared before the FEC at the reconsideration meeting on [enter date], under Article A6.16.8 of Schedule A, you have the right to appeal this decision to the General Appeals Committee (GAC). A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of this letter in accordance with Article A8.04.5 of Schedule A.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

Should you choose not to appeal your case through GAC, you are entitled, in either case, to receive a severance equal to one month's salary for each year of service as a staff member (Article A5.06 of Schedule A). Please contact [enter name] at 780-[enter phone number] in Payroll Operations, Human Resource Services to determine the amount of your severance and to discuss how you would like to receive payment.

- c. Department Chair
Faculty Personnel File
Faculty Relations
Employment Services, HRS

Template 10 <UPDATED>

End of a First or Second Probationary Period

Department Chair recommends tenure

FEC supports recommendation

(Articles A5.03.4(b), A5.04.2(a))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Awarding of Tenure**

This is to inform you officially that the Faculty Evaluation Committee has granted you for tenure. In accordance with its decision, your appointment has been changed from a probationary appointment to a tenured appointment effective July 1, [enter yyyy]. Your appointment will continue to be governed by the Common Agreement and Schedule A, as amended from time to time.

With the granting of tenure your rank will be that of Associate Professor, effective July 1_[enter yyyy].

I would like to take this opportunity to congratulate you on your achievement of tenure and I wish you continued success in your endeavors in the [enter department].

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 11 <UPDATED>

End of a Second Probationary Period

*Department Chair recommends that no further appointment be offered
Staff member is advised of the right to appear before FEC and contest the decision
(Articles A5.04.1(a) and 13.48(b))*

To: Staff Member

From: Faculty Dean

Subject: **Right To Appear before FEC – Tenure has not been recommended by Department Chair**

This is to inform you that as Dean, I have received your Department Chair's recommendation that no further appointment be offered to you at the end of your second probationary period, June 30, 20xx. As such, the decision regarding the granting of tenure has been referred to FEC. Under Article A6.17.1 of Schedule A, you have a right to appear before FEC and contest the recommendation.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA).

Please be advised that the date for your case has been scheduled for [enter date] in [enter location].

Should you decide to contest the recommendation, the following information is to be included in your written submission to the FEC by [enter date]:

- a) a statement advising FEC whether or not you will be appearing before FEC to present a case;
- b) any material in response to the Chair's recommendation as communicated to you under Article A5.04.1 of Schedule A, and any other material relevant to the case;
- c) a list of names of persons who will attend the ~~contested~~ hearing as your witnesses ~~for you~~.

At the same time, a copy of this material must be provided to your Department Chair. Materials submitted to the FEC Chair and Department Chair should be submitted electronically, if feasible.

If FEC decides to support ~~s~~ your Department Chair's recommendation, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Department Chair
Faculty Personnel File
Faculty Relations

Template 12 <UPDATED>

End of a Second Probationary Period

Department Chair recommends tenure

FEC's preliminary position is that no further appointment be offered

(Articles A6.19.1(a), A6.19.2, A6.19.3, A6.20.1, 15.09(a))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Preliminary Position on Tenure**

This is to inform you that the Faculty Evaluation Committee (FEC) did not support the Chair's recommendation to award tenure and has made a preliminary decision that no further appointment be offered to you at the end of your probationary period. Thus, your appointment with the [enter department] at the University of Alberta will terminate effective June 30, [enter yyyy]. Pursuant to Article A.6.19.1, this is the preliminary position of FEC which enables you to request a reconsideration by FEC.

The matters of concern to FEC were as follows:

- [insert issues]

The FEC will be advised by your Chair whether they continue to support their original recommendation to FEC or that they now support the preliminary position of FEC. The Chair may also advise that they support some other position.

You may wish to consider the following options:

- Pursuant to Article A6.19.3 of Schedule A, I am able to meet with you during the week of [enter date] to discuss your individual case, as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- Pursuant to Article A6.20.1 of Schedule A, you have the right to request reconsideration of the FEC's preliminary decision by informing me, in writing, within 5 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

If you have your case reconsidered by FEC and they stand by their preliminary decision, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within working 10 days from the receipt of the letter confirming FEC's reconsideration decision.

Should you choose not to appeal your case through FEC, you are entitled as per Article A5.06 of Schedule A, to receive a severance equal to one month's salary for each year of service as a staff member. Please contact [enter name] at 780-[enter phone number] in Payroll Operations, Human Resource Services to determine the amount of your severance and to discuss how you would like to receive payment.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Department Chair
Faculty Relations
Employment Services, HRS
Faculty Personnel File

Template 13 <UPDATED>

End of a Second Probationary Period

Department Chair recommends a one-year extension

FEC's preliminary decision is that no further appointment be offered

(A5.04.1(c), A5.04.2(b), A6.19.1(a), A6.19.2, A6.19.3, A6.20.1, A8.03.1(a))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Preliminary Position on Tenure**

This is to inform you that the Faculty Evaluation Committee (FEC) did not support the Chair's recommendation to offer you a one-year extension to your second probationary appointment and has made the decision that you receive no further appointment at the end of your probationary period (the preliminary position). As a result, your appointment with the [enter department] at the University of Alberta will terminate effective June 30, [enter yyyy].

The matters of concern to FEC were as follows:

- [insert specific comments]

As per Article A6.19.2 of Schedule A, your Department Chair [enter "continues to support their original recommendation" OR "does not support their original recommendation"] <n.b. used only if you know the Chair's decision when you send the letter out – otherwise this could be in a separate letter.>

You may wish to consider the following options:

- Pursuant to Article A6.19.3 of Schedule A, I am able to meet with you during the week of [enter dates] to discuss your individual case, as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- Pursuant to Article A6.20.1 of Schedule A, you have the right to request reconsideration of the FEC's decision by informing me, in writing, within 5 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

If you seek reconsideration by FEC and it stands by its preliminary decision, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

Should you not seek reconsideration by FEC, you are entitled pursuant to Article A5.06 of Schedule A, to receive a severance equal to one month's salary for each year of service as a staff member. Please contact [enter name] at 780-[enter phone number] in Payroll Operations, Human Resource Services to determine the amount of your severance and to discuss how you would like to receive payment.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Department Chair
Faculty Relations
Employment Services, HRS
Faculty Personnel File

Template 14 <UPDATED>

End of a Second Probationary Period

FEC makes preliminary decision that no further appointment be offered

Staff member appears before FEC's reconsideration meeting

FEC upholds preliminary position that no further appointment be offered

(Articles A6.16.8, A8.04.5)

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Reconsideration of FEC Preliminary Position that No Further Appointment Be Offered**

This is to inform you officially that, following reconsideration on [enter date] of its preliminary position determined at its meeting on [enter date], the Faculty Evaluation Committee (FEC) has reconfirmed its preliminary position that you receive no further appointment at the end of your probationary period. As a result, your appointment with the [enter department] at the University of Alberta will terminate effective June 30, [enter yyyy].

Given that you appeared before the FEC on [enter date] seeking reconsideration of your case, you have the right to appeal this decision (under Article A6.16.8 of Schedule A) to the General Appeals Committee (GAC). A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

Should you choose not to appeal your case through GAC, you are entitled pursuant to Article A5.06 of Schedule A, to receive a severance equal to one month's salary for each year of service as a staff member. Please contact [enter name] at 780-[enter phone number] in Payroll Operations, Human Resource Services to determine the amount of your severance and to discuss how you would like to receive payment.

c. Department Chair
Faculty Relations
Employment Services, HRS
Faculty Personnel File

Template 15 <UPDATED>

End of the Second Probationary Period

Department Chair recommends a one-year extension

FEC supports recommendation

(Articles A5.04.1, A5.04.2(c))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Extension of Second Probationary Period**

This is to inform you that the Faculty Evaluation Committee (FEC) supports the recommendation of your Department Chair and in accordance with the provisions of Article A5.04.2(c) of Schedule A, your second probationary period has been extended by one year to June 30, [enter yyyy].

As per Article A6.16.7 of Schedule A, this decision is final and binding. Your appointment will be governed by the Common Agreement and Schedule A, as amended from time to time.

It will be important to address the following matters of concern during your extension period:

- [insert specific comments]

Thank you for your contributions to the University during your previous probationary appointments, and I wish you great success during the coming year.

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 16 <UPDATED>

End of the Second Probationary Period
Department Chair recommends tenure
FEC extends second probationary period by one-year
(Articles A5.04.1(a), A5.04.2(c))

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC's Position on Tenure**

This is to inform you that the Faculty Evaluation Committee (FEC) did not support your Department Chair's recommendation to award you tenure, but rather has made the decision that your second probationary period be extended by one year. As per Article A6.19.4 of Schedule A, this decision is final and binding.

In accordance with the provisions of Article A5.04.2(c) of Schedule A, your second probationary appointment will be extended to June 30, 20[enter yyyy]. Your appointment will be governed by the Common Agreement and Schedule A, as amended from time to time.

The matters of concern to FEC were as follows:

- [insert specific comments]

I encourage you to remain familiar with the standards for tenure and promotion of the Faculty and understand the expectations of your Department Chair. You may wish to consult with your Chair about the matters of concern to FEC.

Thank you for your contributions to the University and I wish you great success during the coming year.

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 17

**Department Chair does not support tenure
Staff member appears before FEC to contest the Chair's decision
Final decision of FEC is to award tenure**

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Awarding of Tenure/Contested Tenure Case Decision**

I am pleased to advise that the Faculty Evaluation Committee has decided to grant you tenure even though it was the recommendation of your Department Chair that tenure not be granted.

In accordance with Article A6.18.12, FEC would advise that it assessed your [insert specific comments]

In accordance with FEC's decision, your appointment has been changed from a probationary appointment to an appointment with tenure effective July 1, [enter yyyy]. Your appointment will continue to be governed by the Common Agreement and Schedule A, as amended from time to time.

The granting of tenure also constitutes designation as Associate Professor, the rank which you will hold from July 1, [enter yyyy].

I would like to take this opportunity to congratulate you on your attainment of tenure and I wish you continued success in your work at the University.

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 18 <UPDATED>

Promotion to Professor

Department Chair supports application for promotion

FEC awards promotion (A6.14.1(b), A6.16.7)

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Application for Promotion**

I am pleased to inform you that the Faculty Evaluation Committee (FEC) has approved your Department Chair's recommendation to award you promotion to the rank of Professor, which will take effect July 1, [enter yyyy].

Congratulations on meeting this important achievement in your career. My very best wishes for continued success in your work at the University.

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 19 <UPDATED>

Promotion to Professor

Department Chair supports application for promotion

Preliminary position of FEC is to deny promotion

(Articles A6.14.1(b), A6.19.1(b), A6.19.2, A6.19.3., A6.20.1, ~~13.82~~, A8.03.1(a))

To: Staff Member

From: Chair, Faculty Evaluation Committee

Subject: **FEC Preliminary Decision –Application for Promotion to Professor Denied**

This is to inform you that the Faculty Evaluation Committee (FEC) does not support the recommendation of your Department Chair and has made a preliminary decision not to approve your application for promotion to the rank of Professor (preliminary position). Although FEC values your contributions in many areas, the following matters are of concern to the Committee:

- [insert specific comments]

You may wish to consider the following options:

- Pursuant to Article A6.19.3 of Schedule A, I am willing to meet with you during the week of [enter date] to discuss your individual case, as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- Pursuant to Article A6.20.1 of Schedule A, you have the right to request reconsideration of FEC's decision by informing me, in writing, within 5 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

If you have your case reconsidered by FEC and they stand by their original decision, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Relations
Faculty Personnel File

Template 20 <UPDATED>

Promotion to Professor

*Department Chair does not support promotion
Staff member is advised of the right to appear before FEC and
contest the recommendation
(Article A6.17.1(c))*

To: Staff Member

From: Faculty Dean

Subject: **Right To Appear before FEC – Promotion has not been supported by Department Chair**

This is to inform you that I have received your Department Chair's recommendation not to support your application for promotion to Professor. The recommendation has been referred to FEC. Under Article A6.17.1 of Schedule A, you have a right to appear before FEC and contest the recommendation.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

Please be advised that the date for your case has been scheduled for [enter date] in [enter location].

Should you decide to contest the recommendation, the following information is to be included in your written submission to FEC by [enter date]:

- a) a statement advising FEC whether or not you will be appearing in person before FEC to present a case;
- b) any material in response to the Chair's recommendation as communicated to you under Article A5.03.1 of Schedule A, and any other material relevant to the case;
- c) a list of names of persons who will attend the FEC hearing as your witnesses.

At the same time, a copy of this material must be provided to your Department Chair. Materials submitted to the FEC Chair and Department Chair should be submitted electronically, if feasible.

If FEC supports your Department Chair's recommendation, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

- c. Department Chair
Faculty Personnel File
Faculty Relations

Template 21 <UPDATED>

Promotion to Professor

Department Chair does not support promotion

*Staff member appears before FEC to contest the Chair's **recommendation***

Final decision of FEC is to deny promotion

(Articles A6.17.1(b), A6.16.7, A6.16.8, 43.82)

To: Staff Member

From: Chair, Faculty Evaluation Committee

Subject: **FEC Final Decision – Application for Promotion to Professor Denied**

This is to inform you that the Faculty Evaluation Committee (FEC) agrees with the recommendation of your Department Chair and has made a decision not to approve your application for promotion to ~~Full~~ Professor.

You may wish to consider the following options:

- As per Article A6.16.8 of Schedule A, you have the right to appeal this decision to the General Appeals Committee (GAC). As per Article A8.04.5 of Schedule A, a request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Relations
Faculty Personnel File

Template 22 <UPDATED>

Promotion to Professor

Department Chair opposes application for promotion

FEC awards promotion (Articles A6.17.1(c), A6.16.7)

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Application for Promotion**

This is to inform you that the Faculty Evaluation Committee (FEC) does not endorse your Department Chair's recommendation and has decided to award you promotion to Professor effective July 1, [enter year].

Congratulations on this important achievement in your career. My very best wishes for continued success in your University endeavours.

c. Department Chair
Employment Services, HRS
Faculty Personnel File

Template 23 <UPDATED>

Merit Increment

New Appointment between July 1 and Oct 1 (inclusive)

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: Merit Increment

I am writing to inform you that you will receive a 1.0 increment as per Article A6.11.1 of Schedule A, which provides that an Academic Faculty member whose appointment takes effect in the period July 1 to October 1, inclusive, is eligible to receive a full increment. The award takes effect on July 1, [enter year].

I would like to take this opportunity to wish you ~~continued~~ success in your teaching, research and service.

c. Department Chair
Faculty Personnel File

Template 24 <UPDATED>

Merit Increment

New Appointment between October 2 to June 1

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: Merit Increment

I am writing to inform you that you will receive a pro-rated increment as per Article A6.11.2 of Schedule A, which provides that an Academic Faculty member whose appointment takes effect in the period October 2 to June 1, inclusive, is eligible to receive a pro-rated increment. The award takes effect on July 1, [enter year].

I would like to take this opportunity to wish you ~~continued~~ success in your teaching, research and service.

c. Department Chair
Faculty Personnel File

Template 25 <UPDATED>

Merit Increment

Non-Adjudicated Increment for Staff who take Childbirth/Parental Leaves

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: Non-Adjudicated Increment

I am writing to inform you that as requested, you will receive a non-adjudicated increment of [enter increment] this year. This increment is equivalent to the average increment you received in the past [enter # years - up to 3] years. The award takes effect on July 1, [enter year].

As you have opted for a non-adjudicated adjustment, you may claim any work from the year in which you did not report on the next annual report submitted by you.

In closing, I would like to take this opportunity to wish you continued success in your teaching, research and service.

c. Department Chair
Faculty Personnel File

Template 26 <UPDATED>

Merit Increment

*Department Chair recommends single/multiple increment
FEC supports recommendation*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit**

I am writing to inform you that the Faculty Evaluation Committee (FEC) has accepted the recommendation of your Department Chair and awarded you [enter increment value] merit increment in recognition of your achievements during the past evaluation period. The award takes effect on July 1, [enter year].

Each year, the FEC is charged with the responsibility of awarding merit increments to its faculty from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

I would like to take this opportunity to thank you for your [enter strong for single increment or exemplary for multiple increment] performance and to wish you continued success in your teaching, research and service.

c. Department Chair
Faculty Personnel File

Template 27 <UPDATED>

Merit Increment

*Department Chair recommends single/multiple increment
FEC decides on higher increment*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit**

This is to inform you that the Faculty Evaluation Committee (FEC) has approved the award of a [enter increment value] merit increment rather than the [enter increment value] merit increment recommended by your Department Chair. FEC was impressed by your contributions to the Faculty and wishes you continued success in the coming year.

Each year, the FEC is charged with the responsibility of awarding merit increments to its faculty from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

I wish to thank you for your dedication and outstanding contribution to the Faculty.

c. Department Chair
Faculty Personnel File

Template 28 <UPDATED>

Merit Increment

*Department Chair recommends a single increment
FEC's preliminary position is less than the Chair's recommendation
Staff member appeared before FEC
(e.g., from 1.0 Chair recommendation to 0.75 FEC reconsideration)*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit Following Reconsideration**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

As per Article A6.21.5(h) of Schedule A, I am informing you that at its reconsideration meeting on [enter date], FEC did not support your minimal acceptable position and the recommendation of a [enter increment value] increment made by your Department Chair and instead awarded an increment of [enter increment value].

Since you chose to appear before the FEC seeking reconsideration of its preliminary position, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

It is advisable that you consult the Associate of Academic Staff University of Alberta (AASUA).

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 29 <UPDATED>

Merit Increment

Department Chair recommends less than a single increment

To: Staff Member
From: Department Chair
Subject: **Merit Recommendation**

Based on my review of your performance, your annual report and our meeting to discuss my review on [enter date], I am writing to advise you that I will be making a recommendation to the Faculty Evaluation Committee (FEC) for a merit increment of [enter increment value].

I have a number of concerns:

- [insert specific comments]

You may wish to consider the following option:

- As per Article A6.17.1 of Schedule A, you have the right to appear before FEC to contest the recommendation. As per Article A6.17.2 of Schedule A, you must indicate to the FEC Chair, in writing, whether you intend to appear or submit materials or both at least 10 working days before the hearing which is on [enter date]. The materials should be submitted electronically, if feasible.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA).

If FEC accepts the recommendation, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

If you choose not to appear before FEC to present your case or submit documentation in support of your position, the decision will be final and binding. Under Article A8.03.1 of Schedule A, you may not appeal this decision to the General Appeals Committee (GAC).

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Dean
Faculty Personnel File

Template 30 <UPDATED>

Merit Increment

*Department Chair recommends less than a single increment
FEC's preliminary position is less than the Chair's recommendation
(e.g., from 0.75 Chair recommendation to 0.50 FEC preliminary)*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Preliminary Position of FEC Regarding Merit**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

As per Article A6.19.3 of Schedule A, I am informing you that at its meeting of [enter date], the FEC did not support your Chair's recommendation of a [enter increment value] increment instead, FEC is prepared to award an increment of [enter increment value]. Under Article A6.19.1 of Schedule A, this becomes the preliminary position of FEC. The Chair now supports the preliminary position of FEC. This decision was based on the following concerns with your performance:

- [insert specific comments]

You may wish to consider the following options:

- I am offering to meet with you during the week of [enter date] to discuss your individual case as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- As per Article A6.20.1 of Schedule A, you have the right to request reconsideration of the FEC's preliminary position by informing me, in writing, within 5 working days from the receipt of this letter.

Materials in support of your position should be submitted electronically, if feasible.

It is advisable that you consult the Association of Academic Staff University of Alberta (ASSUA), for advice.

If you have your case reconsidered by FEC and it stands by its preliminary position, you have the right to appeal to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

If you did not appear before FEC to present your case or submit documentation in support of your position, the decision will be final and binding. Pursuant to Article A8.03.1 of Schedule A, you may not appeal this decision to the GAC.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 31 <UPDATED>

Merit Increment

*Dept Chair recommends less than a single increment
FEC at reconsideration lowers the Chair's recommended increment
(i.e. from 0.75 Chair recommended to 0.50 FEC Preliminary to
0b or 0d at FEC Reconsideration)*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: FEC Decision Regarding Merit

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

As per Article A6.21.5(h) of Schedule A, I am informing you that at its reconsideration meeting on [enter date] FEC did not support your minimal acceptable position and the recommendation of a [enter increment value] increment made by your Department Chair and instead awarded an increment of [enter increment value].

Since you chose to appear before the FEC seeking reconsideration to present your case, as per Article A6.16.7 of Schedule A, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

[If this is the second merit increment award of 0d over the last three years, the staff member should be advised: "Since the increment award is 0d and this is the second 0d over the last three years of review, the record will be forwarded to the Provost for possible discipline under Article 7 of the Collective Agreement if the GAC does not uphold your appeal". **<DELETE IF NOT APPLICABLE>**

It is advisable that you consult the Associate of Academic Staff University of Alberta (AASUA).

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 32 <UPDATED>

Merit Increment

*FEC concurs with Department Chair's increment recommendation
of less than a single increment*

Staff Member Appears Before FEC

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

At its meeting of [enter date], the FEC supported the recommendation of a [enter increment value] increment made by your Department Chair. **This decision was based on the following:**

- [insert specific comments]

Since you chose to appear before FEC to [enter "present your case" OR "submit documentation in support of your case"], as per Article A6.16.8 of Schedule A, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 33 <UPDATED>

Merit Increment

*FEC concurs with Department Chair's increment recommendation
of less than a single increment
Staff member does not appear before FEC*

To: Staff Member
From: Department Chair
Subject: **Merit Recommendation**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

At its meetings of [enter date], the FEC endorsed the recommendation of a [enter increment amount] increment made by your Department Chair.

As you chose not to appear before FEC to present your case or submit documentation in support of your position, the decision will be final and binding. Pursuant to Article A8.03.1 of Schedule A, you may not appeal this decision to the GAC.

<If this is the second 0d over the last three years of review, the staff member should be advised: "Since the increment award of 0d is the second such award in the last three years of review, the record will be forwarded to the Provost for discipline under Article 7 of the Common Agreement. In this respect you should consult with the Association of the Academic Staff."> **<DELETE IF NOT APPLICABLE>**

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 34 <UPDATED>

Merit Increment

*Department Chair recommends single/multiple increment
FEC decides on less than a single increment*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Preliminary Position of FEC**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

As per Article A6.19.3 of Schedule A, I am informing you that at its meeting of [enter date], the FEC did not support your Chair's recommendation. Instead it is prepared to award an increment of [enter increment value]. The Chair [enter "continues to support their original recommendation" OR "now supports the preliminary position of FEC"]. Under Article A6.19.1 of Schedule A, this is the preliminary position of FEC. This decision was based on the following:

- [insert specific comments]

You may wish to consider the following options:

- I am willing to meet with you during the week of [enter date] to discuss your individual case as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- As per Article A6.20.1 of Schedule A, you have the right to request reconsideration of the FEC's preliminary decision by informing me, in writing, within 5 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA).

If you have your case reconsidered by FEC and they stand by their preliminary decision, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

If you choose not to appear before FEC to present your case or submit documentation in support of your case, the decision will be final and binding. Under Article A8.03.1 of Schedule A, you may not appeal this decision to the GAC.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 35

Merit Increment by FEC

Department Chair recommends single increment

FEC decides on less than a single increment

Staff Member Appears Before FEC

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

Pursuant to Article A6.21.5(h) of Schedule A, I wish to advise that at its reconsideration meeting on [enter date], FEC did not accept your minimal acceptable position which was supported by the recommendation of your Department Chair. Instead it decided to award an increment of [enter merit for the following reasons:

- [insert specific comments]

Having sought reconsideration by the FEC, you have the right to appeal its decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. Written notice of your intention to appeal must be provided to the Chair of the GAC through the Office of the Provost, cc'd to Faculty Relations, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

It is advisable that you consult the Associate of Academic Staff University of Alberta (AASUA).

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Relations

Template 36 <UPDATED>

Merit Increment

*Department Chair recommends multiple increment
FEC decides on lower increment but not less than a single increment*

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **FEC Decision Regarding Merit**

This is to inform you that the Faculty Evaluation Committee (FEC) has approved the award of a [enter increment value] merit increment for you, rather than the [enter increment value] merit increment recommended by your Department Chair.

Each year, the FEC is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty. This decision was made within the context of the relative performance of your colleagues of similar rank.

FEC would like to thank you for your contributions to the Faculty in the past year and wishes you well in the coming year.

c. Department Chair
Faculty Personnel File

Template 37

Merit Increment

Department Chair recommends a 0D increment for the second time in three years

To: Staff Member
From: Department Chair
Subject: **Merit Recommendation**

Based on my review of your academic activities and your annual report, and our meeting to review such on [enter date], I am writing to advise you that I will be making a recommendation to the Faculty Evaluation Committee (FEC) for a merit increment of 0D.

My issues of concern are as follows:

- [insert specific comments]

You may wish to consider the following option:

- Pursuant to Article A6.17.1 of the Collective Agreement, you have the right to appear before FEC to contest the recommendation. Under Article A6.17.2 of the Collective Agreement, you must indicate to the FEC Chair, in writing, whether you intend to appear or submit materials or both at least 10 working days before the hearing which is on [enter date]. The materials should be submitted electronically, if feasible.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA) for advice.

If FEC endorses the recommendation that you receive a [enter increment value] merit increment, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of the Collective Agreement. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty and Staff Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's decision.

If you choose not to appear before FEC to present your case or submit documentation in support of your case, its decision will be final and binding. Under Article A8.03.1 you may not appeal this decision to the General Appeals Committee (GAC).

If you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Dean
Faculty Personnel File
Faculty Relations

Template 38

Merit Increment

Department Chair recommends no increment (the performance requirements have not been met but performance is acceptable notwithstanding)

FEC decides on a 0D increment (that academic performance is unsatisfactory and unacceptable)

To: Staff Member
From: Chair, Faculty Evaluation Committee
Subject: **Preliminary Position of FEC**

Each year, the Faculty Evaluation Committee (FEC) is charged with the responsibility of awarding merit increments to its faculty, from an increment pool that is currently equal to 1.2 x the number of eligible staff within the Faculty.

As per Article A6.19.3 of Schedule A, I am informing you that at its meeting of [enter date], the FEC did not support your Chair's recommendation. Instead it is prepared to award an increment of 0D. The Chair [enter "continues to support their original recommendation" OR "now supports the preliminary position of FEC"]. Under Article A6.19.1 of Schedule A, this is the preliminary position of FEC. This decision was based on the following:

- [insert specific comments]

You may wish to consider the following options:

- I am willing to meet with you during the week of [enter date] to discuss your individual case as it was presented before FEC. Please contact my office at 780-[enter phone number] for an appointment.
- As per Article A6.20.1 of Schedule A, you have the right to request reconsideration of the FEC's preliminary decision by informing me, in writing, within 5 working days from the receipt of this letter.

It is advisable that you consult the Association of Academic Staff University of Alberta (AASUA).

If you have your case reconsidered by FEC and they stand by their preliminary decision, you have the right to appeal this decision to the General Appeals Committee (GAC) under Article A8.03.1 of Schedule A. A request must be made to the Chair of the GAC (Provost, cc'd to Faculty Relations), in writing, within 10 working days from the receipt of the letter confirming FEC's reconsideration decision.

If you choose not to appear before FEC to present your case or submit documentation in support of your case, the decision will be final and binding. Under Article A8.03.1 of Schedule A, you may not appeal this decision to the GAC.

Should you have any procedural questions, please contact the Secretary to FEC, [enter name], at 780-[enter phone number].

c. Department Chair
Faculty Personnel File

Template 40 <UPDATED>

Sabbatical

*FEC recommends approval of sabbatical
Dean accepts FEC's recommendation*

To: Staff Member
From: Faculty Dean
Subject: **Sabbatical Request**

This is to inform you that your application for a [enter 6 or 12] month sabbatical from [enter date] to [enter date] has been approved.

Further information concerning your sabbatical will be sent to you by Employment Services, Human Resources Services. Please ensure that you have read Article A4 and Appendix A.3 of Schedule A of the Collective Agreement for detailed information concerning sabbaticals.

I hope your sabbatical is satisfying and rewarding, and look forward to receiving your report on the sabbatical program as it was approved by FEC in accordance with Article A4.03.8 of Schedule A.

c. Department Chair
Faculty Personnel File

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