



Faculty of Agricultural, Life & Environmental Sciences (ALES)

Standards for Faculty Evaluation

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1. Introduction

1.1 Context

In accordance with the Board-AASUA-Collective Agreement (hereinafter referred to as the Agreement) (Article A6) it is required that the Faculty establish criteria by which the Faculty Evaluation Committee (FEC) assesses the activity of individual faculty members to reach decisions about tenure, salary increments and promotions. This document is intended to establish these criteria, and also to provide guidelines to members of the Faculty about expectations for career advancement.

1.2 Criteria

The criteria presented in this document have the following objectives:

- to provide an academic environment conducive to the pursuit of professional activity and career advancement;
- to recognize contributions and encourage the individual Academic Faculty member to demonstrate their effectiveness as a member of the academic community.

As a member of the University, the Council of the Faculty has the responsibility to set standards of performance that are in harmony with the stated objectives of the University. It is the responsibility of the administrators of the University and the Faculty to assist, as far as possible, in providing the necessary human and physical resources that will ensure these objectives can be achieved.

It is the responsibility of the individual Academic Faculty member to set personal career objectives in harmony with the University's and Faculty's objectives and to use the facilities and the opportunities provided to make contributions to the growth of knowledge and to the academic advancement of students and the Faculty as a whole.

The Faculty endorses the general provisions of the Agreement, as published in Articles A6, A7, and A8 of the Agreement, as the basis for tenure, incrementation and promotion decisions.

The Faculty recognizes that the emphasis given to the various areas of activity may vary among Faculties in the University, hence this document establishes the standards as they are defined and applied in the Faculty of Agricultural, Life & Environmental Sciences (ALES). This document sets forth general guidelines for both Academic Faculty and the FEC, in keeping with the provisions of the Agreement.

1.3 Principles

Attainment of excellence in scholarship must be the main objective and primary responsibility of all faculty members. What follows is an attempt to define the components of scholarship in the Faculty.

The Agreement requires that in the assessment of Academic Faculty members, "performance as a teacher shall be of a major importance in the review" (Article A6.03.3a) and that "the responsibilities of a staff member shall include active participation in research" (Article A2.03.1). However, because of the special relationship of the Faculty to the community at large, community service and technology transfer activities, defined as contributions to the development and dissemination of knowledge, are also recognized. The Faculty places greatest emphasis on **Teaching, Research and Scholarly Work/Creative Activity** and

Community Service and Technology Transfer as major criteria for career advancement. Faculty members will also be assessed on their contributions to Department, Faculty and University service, service to the profession, administration and professional and public service activities. Due regard will also be given to academic discipline and to any unique responsibilities of the individual Academic Faculty member.

Although the normal expectation is 40% teaching, 40% research, and 20% other activities, the weighting of criteria for FEC decisions may vary for individual faculty members in recognition of special circumstances. These weightings will be established as necessary for individuals in consultation with the Department Chair and subject to approval by the Dean. (See A2.01.3) Weighting of criteria for Department Chairs and others with administrative appointments (e.g. Associate Deans) will reflect their administration responsibilities.

1.4 Composition of FEC

On January 22, 2019 Faculty Council approved the following structure for FEC:
Chair of FEC, Department Chairs (4), Elected Representatives (5): With at least one elected representative from each department, PRC Representative (1)

2. General Expectations and Assessment Procedures

Since the Faculty comprises diverse disciplines and activities, it is necessary that its evaluation mechanisms remain flexible. Emphasis given to the various areas of activity will vary from individual to individual as a function of assigned responsibilities. The FEC will strive to ensure equity among departments in the application of the assessment criteria.

It is assumed that faculty members, when initially appointed, have demonstrated sufficient knowledge of their discipline and areas of specialization to teach and undertake research in a manner that is thorough and up-to-date. On-going scholarly activity is expected of all faculty members to ensure that their knowledge and expertise in these areas remain current. "Performance expectations shall increase as a staff member moves through the ranks." (Article A6.03.3b)

All faculty members are expected to conduct themselves in a manner consistent with accepted standards of professional ethics whether in their work at the University, while engaged in other professional activities, or when dealing with the public at large.

Beyond these general expectations the Faculty recognizes three major areas of activity for the purposes of determining incrementation, tenure and promotion. These areas are teaching, research/scholarly work/creative activity, and community service, technology transfer and administration. Contributions to the department, faculty, university, and to academic and professional bodies, while important, cannot be considered as substitutes for lack of reasonable activity in teaching and research. Nevertheless, outstanding contributions in these areas, in addition to quality performance in the major areas, will be interpreted as meritorious. No individual is expected to be heavily involved in all areas at any one time. It is also recognized that significant changes in areas of emphasis may occur during the course of an individual's career. Making such flexibility possible while maintaining objective and consistent performance evaluations is a major reason for formalizing procedures in this document.

During the annual performance review meeting the Department Chair will discuss the Academic Faculty member's general plans for the coming year. (Note: In the case of Faculty of ALES Associate Deans, the Dean will be part of this discussion.) In particular, this meeting should clarify how the Academic Faculty member's objectives will fit into the normal activity profile (40% research, 40% teaching, 20% service) or their specific profile. At the end of the year, the Department Chair's recommendation to the FEC will be based on the performance of the Academic Faculty

member in carrying out these previously agreed upon plans, unless circumstances and opportunities have resulted in an altered agreement between the Academic Faculty member and the Department Chair regarding the Academic Faculty member's objectives and direction of effort for the reporting year.

The Department Chair will be responsible for ensuring that expectations are equitable across the department and that, considering departmental differences, expectations are in line with Faculty-wide norms. For guidance, suggestions are made in this document regarding the kinds of factors that could or should be considered for each area and how some of these might be measured. It is therefore anticipated that each faculty member will begin each year with a clear indication of expectations. The following are considered to be representative of Faculty-wide norms.

3. Areas of Evaluation

3.1 Teaching

"Except where a staff member has a reduced teaching assignment, performance as a teacher shall be of a major importance in the review." (Article A6.03.3a) The Department Chair has the responsibility to evaluate the faculty member's teaching effectiveness. The assessment by FEC will be based on the teaching workload and on the overall effectiveness of the faculty member as a teacher.

Teaching responsibilities include:

- graduate student supervision and thesis examination,
- planning the content and delivery of graduate and undergraduate courses,
- developing course materials, learning activities and evaluation devices,
- delivering lectures and other learning activities,
- evaluating student progress, including grading and maintaining ongoing contact with students,
- instruction beyond regularly scheduled contact hours with students,
- training of teaching assistants,
- and coordination of multi-sectioned courses.

Some of the attributes to be considered in the evaluation of teaching effectiveness are the faculty member's ability and willingness to:

- stimulate intellectual inquiry and foster learning;
- generate enthusiasm among the students for the subject;
- ensure that students are exposed to the major concepts of the subject and know how to find and use related information;
- ensure course outcomes are consistent with requirements for the associated program;

- stimulate students to think independently and critically in the quest for and application of knowledge;
- develop and/or adopt innovative teaching methods and strategies;
- keep abreast of the most current disciplinary information and be a valuable resource for both students and colleagues.

GFC Policy and the Agreement require that "Evaluation of teaching shall be multi-faceted and, in particular, shall not be based primarily on any one method of evaluation. The standards for evaluation of teaching performance shall be broadly based, including course content, course design and performance in the classroom. Such evaluation may take into account information such as reviews of teaching dossiers and other materials provided by the Academic Faculty member; reviews by peers and administrative officials; comprehensive reviews of student commentary; and the frequency distribution of responses to student questionnaires." A6.03.4

As per UAPPOL policy on Teaching, Learning and Evaluation, "Evidence to support a multifaceted approach to the evaluation of teaching will include feedback from students about their perspectives on their experience of teaching through surveys and commentary" and may include "(a) instructor self-assessment, captured in a teaching dossier or portfolio; (b) the use of available survey tools including, but not limited to, instructors assessing students, instructors assessing peers, instructors assessing themselves, and/or students assessing themselves; (c) instructor development through courses/conferences, and scholarly and service activities; (d). trained peer or expert assessment; and, (e) teaching awards and honours".

In most instances, student ratings will constitute one part of the evaluation. If self-assessment is also used, then it is recommended that it be based upon the following topics:

- Outline the goals of the courses you taught.
- Discuss the methods you used to evaluate whether the goals were accomplished.
- Describe the evidence used to determine whether the goals were accomplished.
- What changes, if any, do you expect to implement next year to better meet the goals?

Evaluation of teaching also includes consideration of professional development courses / activities taken to improve teaching and learning, effective membership on committees related to teaching (e.g. Department teaching policy committees), and contributions to the improvement of teaching by other Academic Faculty members including informal and formal peer evaluation, mentoring, etc.

Supervision and mentoring of graduate students and postdoctoral fellows is also included in the evaluation of teaching. The quality of supervision and the number of individuals supervised are considered. Graduate supervision is assessed by evidence of effective interaction with the graduate student; timeliness of completion of milestones; presentations, papers and scholarly contributions by the student and/or jointly; awards and scholarships; supervision awards and any other evaluation materials.

Peer Evaluation

Formal peer evaluation or peer consultation involves interaction with trained evaluators or consultants. Formal peer evaluation is offered by the Centre for Teaching and Learning (<https://www.ualberta.ca/centre-for-teaching-and-learning/index.html>) and is intended to provide instructors with feedback and support to enhance their teaching. While the peer consultation process itself is non-evaluative, the outcome of a peer consultation process will include a description of how the Academic Faculty member can enhance their teaching and aspire to improved teaching outcomes. Formal peer evaluation is not expected to be used every year, but it is required that early career (non-tenured) Academic Faculty members engage in peer evaluation of their teaching early in their appointment and recommended that all Academic Faculty engage in peer consultation periodically (at least once every 5 years).

Academic Faculty members should engage in formal peer evaluation within their first probationary period as an assistant professor. Assistant Professors should also consider informal peer evaluations, teaching development courses, and other activities to support the development of teaching.

Associate Professors are expected to engage in formal peer evaluation before promotion to full professor. The peer evaluation and other efforts in the development of teaching skills will contribute to the development of the teaching section of the promotion package.

Full professors should engage in formal peer evaluation every 5 years. Full professors are also expected to play a more significant role in mentoring and contributions to teaching and learning committees at the Department and Faculty level as part of their service (see below).

3.2 Research and Scholarly Work/Creative Activity

It is assumed by the Faculty that an Academic Faculty member holding a regular academic appointment within the University is normally required to make, within each review period, significant contributions of a scholarly nature over and above that directly related to the individual's teaching responsibilities. In the interest of advancing knowledge through research and scholarly activity the outcome of such contributions must be made public. In assessing research, the focus will be on scholarly activity that is primarily directed to peer researchers and scholars.

In making the assessment the FEC will consider the nature of the member's field of research, the nature of the publications and the availability of time and other factors related to the Academic Faculty member's circumstances (including part-time appointments).

The following is a list of the types of activities that are considered to be evidence of research and scholarly activity, and should be listed on the annual report. The list is not intended to be all-inclusive, nor is it necessarily in order of priority.

In addition, the scope of assessment should reflect Article A6.03.11 of the Collective Agreement "Assessment of scholarship, research and innovation must incorporate provisions for different and diverse experiences and contributions to knowledge, including Indigenous knowledges and methodologies, along with different visions, values, cultural mores, methodologies and epistemologies in critical analysis."

3.2.1 Contributions to Published Knowledge, such as:

- papers describing original research published in refereed periodicals/juried exhibits;

- scholarly books, chapters in books and monographs;
- working papers, research reports, original computer programs, and audio-visual materials;
- oral presentations, posters, proceedings and abstracts;
- review articles;
- non-refereed research publications;
- meeting presentations (e.g. published proceedings);
- book reviews;
- production/exhibits of works of art and other related creative activities;
- curatorial exhibits of art or artifacts.

3.2.2 Academic Faculty members are expected to obtain research funds at a level commensurate with the costs of doing research in their discipline. Also, Academic Faculty members are expected to be actively seeking national, competitive funding (e.g. Tri-Council funding), if eligible.

3.3 Service

3.3.1 Service to the Department, Faculty, University and other University bodies.

Service activities to support the Department, Faculty, University and other University bodies include participation in committees (e.g. teaching policy committees, awards committees, seminar committees), engaging in activities like peer evaluation of teaching, participation in formal mentoring programs, membership on selection committees, membership on University governance bodies (e.g. GFC) and a variety of other activities.

Academic Faculty members are expected to engage in service responsibilities to support the Department, the Faculty, the University and/or other University bodies. These expectations increase as the Academic Faculty member progresses through the ranks.

Service activities in this category will be assessed by examining the quantity and quality of service as well as the time involved and scope of activities.

3.3.2 Community Service and Technology Transfer

Community service and technology transfer is directed toward practicing professionals, industry and government leaders, entrepreneurs and the general public and includes such activities as:

- publishing in magazines, popular journals, and Faculty bulletins,
- course instruction,
- service and diagnostic work, and
- lectures, talks and demonstrations.

Community service and technology transfer will be assessed by the Department Chair on the basis of scope, need, and successful fulfillment of obligations. In the annual report and at the meeting with the Department Chair (Article A6.13) the Academic Faculty member must provide evidence of the community service and technology transfer, including such information as: size of audience or public, requesting agency, budget, time involvement, quality of delivery, or whatever other documentation is requested by the Department Chair. The Department Chair will then make an assessment of the quality and quantity of the community service and technology transfer, and report the evaluation to FEC.

3.3.3 Other Professional Contributions

Other professional contributions include:

- Invited lectures and seminars
- Other professional activities such as editorial work, refereeing of papers, reviewing of grant applications, delivering non-academic courses (e.g., short courses delivered to government agencies), reviewing books, etc.
- Public service and contributions to academic and professional bodies. This is a recognized responsibility of Academic Faculty members, and may include:
 - seminars, conferences, study clubs and other types of continuing education offerings to professional groups,
 - contributions to government and professional committees, boards and panels,
 - leadership roles in academic and professional organizations at national and international levels.

Consulting (Supplementary Professional Activities)

- non-remunerated involvement in professional consulting,
- remunerated supplementary professional activities.
- FEC will consider the potential of supplementary professional activities (SPAs) to contribute to or detract from the Academic Faculty member's competence and effectiveness as a teacher and a scholar. (see section 9 of this document).
- Note that if the Academic Faculty member is uncertain if an activity is SPA or service, they should consult their Department Chair.

3.3.4 Globalization

Academic faculty members are encouraged to contribute to the University's plans for international engagement and to participate in international activities as appropriate to their discipline and experience. Beyond international recognition of research, teaching and technology transfer, connecting globally includes internationalization of courses and curricula, international recruitment and student exchanges, and development of strategic international partnerships.

3.4 Administration and University Governance

In an institution where governance is a shared activity, the Academic Faculty member is expected to accept responsibility for participating in the activities to support administration of the Department, the Faculty, the University and/or other University bodies. These

expectations increase as the Academic Faculty member progresses through the ranks. In assessing performance in this category, the quality of the contribution will be considered. It must be recognized that time devoted to committee work, administration and related activities must by necessity be taken from teaching and other scholarly work.

An Academic Faculty member may be appointed by the Dean of the Faculty to assume an administrative role (with or without limited term) that requires a substantial commitment of time and energy (e.g. Associate Dean) which may limit involvement in the three major areas of activity. Where such an appointment is held, meritorious performance in the designated role will be recognized in incrementation considerations and for tenure and promotion, along with teaching, research and scholarly activity, and/or community service and technology transfer.

3.5 Professional Development

This would include activities undertaken to develop new skills, learn about professionally relevant topics, stay abreast of one's field, etc. Examples include attending conferences or seminars, or taking credit or noncredit courses.

4. Incrementation and Academic Performance

The Agreement requires the annual review of an Academic Faculty member's performance by the Faculty FEC upon consideration of a recommendation by the Department Chair (Articles A6.09 and A6.10). The performance will be evaluated in accordance with standards approved for the Faculty. The review period for the Faculty is July 1 to June 30. Notwithstanding that this is an annual report, focusing on accomplishments occurring in the reporting year, various sections of the annual report provide an opportunity to report on other work in progress, and ongoing grants and activities.

Principles in Articles A6 and A7 of the Agreement underlie the evaluation of performance.

Performance evaluation will be assessed based on the Academic Faculty member's assigned responsibility to the university in teaching, research, and service. In the Faculty of ALES, the norm is 40-40-20 unless a) the appointment specifies something different or b) there is an approved variance of responsibilities (A6.04). Performance assessment is comparative relative to other Academic Faculty members of similar rank in their Department or discipline; performance expectations shall increase as an Academic Faculty member moves through the ranks (A6.03.3). It is recommended that new Academic Faculty members consult with their Department Chair to discuss criteria for evaluation of teaching, research, and service. Incrementation will be recommended and awarded as explained in 4.1 below.

4.1 Incrementation (Articles A6.09 and A6.10)

- One-half increment: Adequate

The Academic Faculty member's performance is generally below that of others of similar rank in this discipline and assigned responsibility, in one or more of the areas of responsibility (teaching, research and service) but is adequate.

- Point Seven Five (0.75) Increments: Satisfactory

The Academic Faculty member's performance is marginally below that of others of similar rank in this discipline and assigned responsibility, in at least one area of responsibility (teaching, research and service).

- One increment: Good

The Academic Faculty member's performance meets expectations in teaching, research and service compared to others of similar rank in this discipline and assigned responsibility.

- One and one-quarter increments: Commendable

Better performance than that classed as "good". Performance of expected and assigned duties and contributions in major areas exceeds the expectations of the Department Chair and the FEC for one increment.

- One and one-half increments: Superior

Significantly better performance than that classed as "good". Performance of expected and assigned duties and contributions in major areas exceeds the expectations of the Department Chair and the FEC for one and one-quarter increment.

- Two increments: Outstanding

Better performance than that classed as "superior". The Academic Faculty member carries out expected and assigned duties and contributes to major areas to an exceptional degree, far exceeding the expectations of the Department Chair and the FEC for one and one-half increments.

- Two and one-half increments

The Academic Faculty member's execution of expected and assigned duties and contributions to major areas are outstanding, exceeding the expectations of the Department Chair and the FEC for two increments. Typically, the recipient also has received national or international recognition through a major award or other accomplishment. In any year it is unlikely that more than one individual in the faculty would receive 2.5 increments; in many years no such award would be given.

- Three increments

The Academic Faculty member has received national or international recognition through a major award or other accomplishment. In addition, the Academic Faculty member's execution of expected and assigned duties and contributions to major areas are extraordinary to the extent that such an award would be given only about once a decade, if at all.

- A portion of incrementation (see A6.09.1(b))

A portion of Incrementation up to 3.0, which will bring the salary of an Academic Faculty member to the salary maximum of the Academic Faculty member's present rank.

- A special increment (see A6.09.1, A6.12.5)

A special Increment may be applied in certain cases associated with promotion to Professor. Please see A6.12.5.;

In addition to the above, Increments may be awarded in quarter Increments ranging from 0.50 to 3.00 (i.e., 0.50, 0.75, 1.00, 1.25, 1.50, 1.75, 2.00, 2.25, 2.50, 2.75, 3.00).

- Zero increment (see A6.10)

Four different categories of zero increment are identified in the Agreement (A6.10). When a Department Chair recommends and/or FEC awards a zero increment, the designation attached to the increment (i.e., the letter following the 0) shall be identified in all meetings and correspondence relating to the award, and will be clearly communicated to the Academic Faculty member. An award of zero increment must be identified as meaning one of the following – as per (A6.10):

- (0 a) that performance requirements for incrementation have been met but the maximum for rank has been reached;
- (0 b) Performance requirements for incrementation have not been met.
- (0 c) Academic performance while on authorized leave could not be properly evaluated.
- (0 d) Academic performance is unsatisfactory and unacceptable.

5. Tenure

5.1 Tenure Standards

The purpose of the probationary appointment period is to permit an assessment of the individual's ability to work effectively towards achieving Faculty objectives and personal career goals. Tenure will normally be granted when all of the following accrue:

- The period of probation has been completed.
- The Academic Faculty member has demonstrated a strong record of achievement in teaching and research and has demonstrated that they will in the future be capable of making excellent contributions as an Academic Faculty member in all areas of responsibility. (Refer to section 3.0 – Areas of Evaluation).
- The candidate's performance in all other categories, in the opinion of the FEC, will permit the Academic Faculty member to achieve normal career progress.

In some instances, in addition to the above, the initial contract may stipulate that tenure will not be considered before the candidate has fulfilled certain other requirements. Where such requirements apply it will be clearly specified in the initial contract.

The candidate must not assume that granting of tenure is automatic, even though they have been awarded full or partial merit increments during the probationary period.

5.2 Tenure Assessment

The Faculty accepts Article A6.03.3c as the basis for the award of tenure. The Faculty comprises diverse disciplines and it is necessary that its standards for evaluation are flexible. The major concern of the FEC in evaluating a candidate's performance before awarding tenure is that the candidate demonstrates the ability to contribute effectively in all areas of

responsibility.

Emphasis given to the various areas of activity (teaching, research / scholarship / creative activity, and service) will vary from person to person.

In order to ensure that the FEC may objectively assess a tenure candidate's effectiveness, documentation for all categories must be provided. Such documents should normally include:

- Written assessment by the Department Chair, that includes a recommendation with justification for the recommendation.
- A current Curriculum Vitae
- Evidence of professional development resulting from participation in continuing education, postgraduate/graduate seminars, "other" invited lectures, etc.
- A research dossier providing evidence of productive and original research beyond that which was part of a graduate thesis requirement.
- Evidence of some contribution to the administrative (committee) function of the Department, Faculty, University.
- Evidence of contribution to effective supervision of graduate students, postdoctoral fellows, and other trainees.
- A teaching dossier comprising a teaching philosophy, syllabi of courses taught, examples of exercises used during teaching, teaching evaluations, and other items thought relevant by the candidate. Note that the evaluation of teaching should be multifaceted and include, at a minimum, a teaching dossier and other materials provided by the Academic Faculty member including, for example, "self-evaluation" of teaching, reviews of teaching (formal and/or informal) by peers and the Department Chair, and the frequency distribution of responses to student questionnaires.
- Copies of three publications representative of their most significant research contributions and/or a portfolio of work.

In addition, the candidate must submit the names of three persons including scholars with national and international reputations with whom the Department Chair may solicit confidential letters of reference. The candidate should include an explanation of why these individuals are well qualified to provide an evaluation. The Department Chair will create a list of similarly qualified scholars who can testify to the stature of the candidate as a teacher/scholar, based on the Faculty criteria for tenure, which will be provided by the Department Chair. Usually referees will be given copies of the candidate's curriculum vitae, recent publications and research portfolio, and teaching dossier. Referees will include at least one from the list provided by the candidate and at least two from the Department Chair's list.. The chair will review the full list of potential referees with the candidate to identify any conflicts of interest and/or biases. The chair will then finalize the list – which will not be shared with the candidate. All referees should be "arm's length" to avoid conflicts of interest.

Usually the set of letters will include at least:

- one from a referee who works in the Canadian University system;

- one from a referee of similar background outside the Canadian University system;
- where appropriate, a letter from a referee from an esteemed, qualified senior staff person in industry, government, or relevant agency.

Letters from referees will remain confidential and will not be shared with the candidate. A minimum of four letters is required. While four is the minimum number of letters required, if more than four letters are received by the Chair all letters should be included in the package. The Department Chair's written assessment, which will typically make anonymized reference to comments of the referees, will be shared with the candidate.

6. Promotion

Promotion is earned and will not be granted automatically after advancement through the increment scale. "The promotion of an Academic Faculty member and the award of tenure shall be decided by the FEC following review of the Academic Faculty member's performance over the complete career" (Article A6.12.1).

Article A6.03.3.d states "For promotion to the rank of Professor, the Academic Faculty member must demonstrate a strong record of achievement in teaching, research, and service, including excellence in teaching and/or research, and/or exceptional service."

6.1 Tenure and Promotion

6.1.1 Tenure

A recommendation for tenure, received by FEC in accordance with the procedures of Article A5, shall automatically include recommendation for designation as associate professor for those appointed as Assistant Professor (A6.12.2).

6.1.2 Promotion to Professor

An Academic Faculty member is eligible to be promoted "when their current salary is within one increment of, or is higher than, the salary minimum of Professor" (Article A6.12.3b).

Article A6.12.5 provides for the special situation where an Academic Faculty member's salary is less than the foregoing eligibility level but where the Department Chair advises the person that the increment recommended is such that, if approved, the person's next year salary would be at least as high as the salary floor of the next rank. In such a case, the Academic Faculty member is eligible to apply for promotion conditional on the award of the multiple increment.

The Department Chair has the responsibility to review with the candidate at each annual review, or more frequently as necessary, career progress history and advise the candidate whether a continuation of current activities and performance would, at the appropriate time, allow the Department Chair to put forward to the FEC a recommendation for promotion. Should the performance appraisal indicate that a recommendation for promotion will not be forthcoming, the Department Chair will indicate areas where attention is required in order to move forward with a recommendation for promotion. This does not preclude the ability of the Academic Faculty member to apply for promotion.

6.2 Promotion Standards

6.2.1 Promotion to Full Professor

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

Specifically:

6.2.1.1 Excellence in teaching will be demonstrated by proven expertise and leadership as a teacher/scholar at this University, preferably with a national and international reputation. Evidence to support the evaluation of teaching excellence will have the same components as that for tenure (section 5.2).

6.2.1.2 An Academic Faculty member normally will have supervised at least one PhD student to successful completion before promotion to Professor. It is also expected that contributions to service at the Department, Faculty, and University level will have increased over time.

6.2.1.3 Excellence in research will be demonstrated by expertise and leadership as a researcher/ scholar at this University, with a national, and international, reputation. The candidate must have made a significant contribution to their field through publications/exhibitions appropriate to the discipline.

6.2.1.4 Excellence in service as reflected in the quality and quantity of service activities, outcomes, and recognition for service.

6.3 Promotion Assessment

The process of obtaining letters of reference for promotion to full professor will be the same as for candidates for tenure.

The documentation for promotion provided by the candidate will be similar to that prepared for tenure (research dossier, teaching dossier, service dossier (especially for applications based on exceptional service), contributions to graduate students and other trainees, , administrative activities, and outcomes). The documentation should include the complete career.

7. Implementation Policies

The implementation of University policies and procedures for promotions and incrementation occurs at different levels. The application of criteria for assessment clearly involves the exercise of judgment and this continues to be, in accordance with the Agreement, the prerogative and responsibility of the Department Chair, the Dean, and the FEC. It is desirable, however, to establish common understanding in order to facilitate the establishment of uniform and high standards throughout the Faculty.

The Agreement requires that "The Department Chair shall assign to each staff member specific responsibilities, which shall include courses to be taught and other teaching duties and may include supervisory and administrative responsibilities." (Article A2.02.1). The Academic Faculty member's annual report should provide a comprehensive statement of the individual's responsibilities and how these responsibilities were fulfilled. This statement may reflect minor weighting differences

and may provide a basis for review for the subsequent year. At least one annual meeting shall be offered by the Department Chair to meet with each respective Academic Faculty member to discuss performance and the incrementation and/or promotion recommendation that will be submitted to FEC. Where supporting documentation is required in assessing the individual's performance it will be the responsibility of the Academic Faculty member being assessed and the Department Chair to provide such documentation.

When, on the basis of the annual review, an Academic Faculty member falls short of the expectations, the Academic Faculty member should, in consultation with the Department Chair, seek to clarify the nature of the deficiency. The Department Chair is expected to offer counsel and to inform the Academic Faculty member in writing of the level of performance that will be required to correct the deficiency.

While Departments have some flexibility in determining the range of academic performance that is recognized by incrementation, it is the responsibility of the FEC to carefully examine departmental interpretations of the Faculty Guidelines to ensure that a balance exists between departments. The FEC will ensure that the standards of performance required for the awarding of incrementation will prevail throughout the Faculty.

Favorable career advancement decisions will depend on the personal initiative of the individual Academic Faculty member as evidenced by performance record and the documentation that is provided.

8. The Annual Report

The annual report comprises the major document on which annual assessments of performance will be based. It is important that it truly represents a comprehensive summary of activities that took place during the period under review. Reports must be completed consistently to enhance assessment of relative performance equitably and fairly. Therefore, detailed instructions must be provided to the Academic Faculty member.

Some particular points to observe include the following:

- All Academic Faculty members must submit an annual report. There may be exceptions for Academic Faculty members who are on approved leave (e.g., childbirth, medical, compassionate or disability leave) at the time the annual report is due and for Academic Faculty members who qualify and opt for a non-adjudicated adjustment (childbirth and parental leave). The Department Chair must advise all Academic Faculty members annually of this requirement.
- A report on supplementary professional activities must be submitted (Article A3.07 with each annual report.
- Manuscript citations must list page numbers (where applicable) and must indicate if the manuscript was an abstract. The order of authorship on publications must be as printed.
- Grants received must indicate if the grant was received jointly with other staff members. The principal investigator and the Academic Faculty member's role in the project must be identified.
- Project courses and seminars must list the course number and number of students.

- Research articles/creative works will be considered in the year that they are actually published/completed/presented based on the DOI.
- Documentation of research/scholarship/creative activity must clearly indicate the nature of the contribution under the headings provided.

9. Supplementary Professional Activities (SPA)

Supplementary Professional Activities in the Faculty shall be governed by Article A3 of the Agreement.

Academic Faculty members have a University responsibility to the community and bona fide supplementary professional activities are to be encouraged. In some cases SPA may represent a form of Professional Development for an Academic Faculty member and as such is viewed by FEC as a meritorious activity. To be considered meritorious, SPA should improve teaching, research and/or service by being professionally relevant.

Article A3 of the Agreement outlines the role of SPA and the mechanisms for reporting SPA. Article A3 states "An Academic Faculty member is a full-time employee and has a primary obligation to fulfil University responsibilities" and "an Academic Faculty member may engage in SPA. SPA shall not prevent, hinder or unduly interfere with the Academic Faculty member's primary responsibilities." Therefore, SPA involves those activities that are outside the Academic Faculty member's primary responsibilities of teaching, research and service. SPA includes activities such as consulting services, teaching at institutions outside the University, employment by another employer, private practice, or other such activities whether remunerated or not.

Examples of SPA include consulting (e.g. joining a consulting company in a role as an analyst or advisor), teaching at other institutions (regular university courses, short courses, or other courses.), or participation as an expert witness in a legal proceeding. These can be viewed as meritorious activities if they can enhance the mission for teaching, research and/or service of the University of Alberta.

Some remunerated activities are not SPA. For example, receiving a small honorarium for reviewing a doctoral dissertation at another university or for reviewing a book, is service (academic service).

However, there are thresholds regarding remuneration. For example, public speaking and collection of speaker's fees (over and above travel expenses) beyond a modest honorarium (e.g. \$2,000) will be considered SPA.

There are cases where it is unclear if an activity constitutes SPA or not. If an Academic Faculty member has any doubt regarding an activity and whether it constitutes SPA they should consult their Department Chair, the Vice Dean or Dean.

As per article A3.05.01 "An Academic Faculty member shall obtain written approval of the Dean prior to undertaking major SPA. Prior to approving SPA, the Dean shall ensure that primary University responsibilities will be performed satisfactorily."

In ALES, the Department Chair (and Dean as appropriate) will ensure that SPA does not interfere with the Academic Faculty member's responsibilities to the University, nor that they compete unfairly with professionals outside the University.

Definitions of major versus minor SPA: Relevant Considerations

1. Teaching at another institution, where teaching involves instruction in a formal, for-credit, course or an informal course, and involving more than 10 hours of instruction, constitutes

major SPA.

2. Teaching inside the University of Alberta, but outside of assigned teaching responsibilities, where teaching involves instruction in a formal, for-credit, course or an informal course, and involving more than 10 hours of instruction, constitutes major SPA.
3. SPA in which ALES space, facilities, equipment (except personal computer), or Academic Faculty and/or students are involved constitutes major SPA.
4. Cumulative SPA that requires more than an annual average of one-half day per week, or 25 days over the year, constitutes major SPA.
5. Major SPA must be recommended for approval by the Department Chair to the Dean prior to engaging in the activity (with a copy provided to the Vice Dean).
6. Major SPA for Department Chairs must be approved by the Dean.
7. Minor SPA is one that is a) below the threshold number of hours of instruction stated in points 1 and/or 2, b) below the threshold number of days spent on the activity stated in point 3, c) cumulatively requires less time than specified in point 4, or d) does not involve space, facility use, equipment or staff / student time.
8. Minor SPA does not have to be approved by the Department Chair.
9. All SPA (major and minor) must be reported annually to FEC.
10. The University shall not be held responsible for any loss, injury or damage that may or could arise from an Academic Faculty member's SPA. In all instances where the Academic Faculty member engages in major SPA, the Academic Faculty member is required to provide a copy of professional liability insurance policy, or other relevant evidence, to ensure adequate liability insurance to indemnify the University against any claims.
11. Academic Faculty members must adhere to all other elements of the Agreement regarding SPA.
12. SPA may or may not involve remuneration. However, there are thresholds regarding remuneration under the Code of Conduct. The Code of Conduct of the University of Alberta (effective July 1, 2019) contains limits to the cash value that an individual can obtain from events, including speaking engagements and seminar presentations (sections 1 and 2 of the Code of Conduct document, section ***Procedure - Receipt and Acceptance of Gifts and Event Invitations***). The Code of Conduct also contains information on conduct of activities classified as SPA. The Code of Conduct can be found at <https://www.ualberta.ca/faculty-and-staff/my-employment/code-of-conduct>.

The Faculty requires that each Academic Faculty member who undertakes SPA provide the following information describing the supplementary professional activities in conjunction with their Annual report:

- a) the category or type of client or affiliation;
- b) the nature of services performed;
- c) an estimate of the total time devoted to each SPA;
- d) the names and nature of any continuing contractual arrangements with outside organizations;

- e) the time(s) of the year, week and day, expressed generally, since this information is deemed important to the approval and reporting of SPA;
- f) the primary location where supplementary activities are carried out (if off-campus give appropriate address); and
- g) a listing of all U of A facilities used for the SPA.

The purpose of reporting this information is to enable the Department Chair and the Dean to determine the extent to which supplementary professional activities are adding to the professional and intellectual development of the Academic Faculty member.

To meet the commitments as defined in Article A3, SPA should be reported on the annual report for all Academic Faculty members including those on Sabbatical Leave. All SPA should be reported for the same time period as the other activities included in the annual report.

Use of University Facilities and Staff

Department Chairs, in consultation with the Dean and the Academic Faculty member concerned, will determine when an Academic Faculty member is making extensive use of University facilities in carrying out supplementary activities. If it is determined that use goes beyond a trivial level, the Academic Faculty member will be required to compensate the department concerned for such use.

Conditions of SPA

Please note the conditions that must be met regarding participation in SPA in Article A3.06 including statements regarding indemnification of the University. This indemnification may require that the Academic Faculty member have adequate personal or professional liability insurance. The Dean and Department Chair may request evidence of such liability insurance before approving major SPA.

10. Appendix A

Faculty of Agricultural, Life & Environmental Sciences Guidelines for Sabbatical Applications

These guidelines should be considered in concert with Article A4 and Appendix A.3 (Sabbatical) of the Agreement.

1) Faculty members submit applications for sabbatical to the Dean through the Department Chair. Applications must be submitted to the Dean by October 15.

Sabbatical leave is not an automatic right - Academic Faculty members must clearly communicate how the sabbatical program will benefit the university as well as how it will benefit them professionally. The application should include the following details regarding the sabbatical program:

- The overall goal of the study leave program.
- Where and with whom the applicant plans to spend the sabbatical and the factors taken into account in selecting the location. (i.e. unique research capability; internationally recognized program or individuals; building on existing collaborations, etc.)

- A synopsis of future research/teaching directions and how the sabbatical contributes to these.
- New skills/capabilities/experiences the applicant will acquire, and;
 - how these will contribute to their professional development, and
 - how these will support the strategic initiatives of the Department/Faculty.
- Anticipated tangible outputs, (i.e., a book, working papers, patents, new course development, new research collaborations, etc.)
- Statement of arrangements that have been made to provide satisfactory supervision of graduate student(s) during the sabbatical leave.
- Plan of how teaching and support staff supervision (if applicable) will be covered during the sabbatical leave.
- Funding, if applicable.

2) On receipt of sabbatical applications, the Department Chair will:

- Determine the eligibility of the applicant for the sabbatical. If the applicant is clearly ineligible for sabbatical, the Department Chair may stop the application at that point. In all other cases, the Department Chair must submit the application to the Dean. That is, the Department Chair shall not make decisions with respect to applications from Academic Faculty members for sabbatical.
- Insert their comments on the application form, along with a recommended course of action for the Dean. In making the recommendation, the Department Chair should consider all aspects of the proposed sabbatical, such as:
 - the sabbatical program,
 - the merit of the applicant,
 - relative merits of all the departments applicants and their sabbatical programs,
 - operational needs of the department, proposed arrangements for supervision of graduate students and support staff (if applicable),
 - teaching needs of the department,
 - financial considerations.
- Rank the applications in preferential order if there are several applications from the same department.
- Submit the sabbatical applications to the Dean by October 15.

Note: In the case of an Academic Faculty member whose appointment is held jointly in two departments, each Department Chair shall submit a recommendation with respect to the application.

3) On receipt of sabbatical applications the Dean will:

- Confirm the eligibility of the faculty member for the sabbatical proposed. In the event the Dean is not certain as to the eligibility, the question will be referred to the Vice- President (Academic) and Provost for consideration and decision.
- Provide copies of applications from all eligible Academic Faculty members to FEC.

4) FEC will submit a recommendation to the Dean as to which applications should be approved and which should not be approved. The following factors will be considered by FEC:

- The recommendation of the Department Chair.
- Meritoriousness of the sabbatical program.
- Whether or not the sabbatical program will be to the mutual advantage of the Academic Faculty member and the University.
- The effect that a sabbatical would have on the operations of the faculty/department.

- Financial resources available for replacements of staff.
- The arrangements made for covering graduate student supervision and support staff supervision (where applicable).
- The arrangements made for covering teaching.
- Other matters the Dean deems relevant.
- Sabbatical programs which include work to be done at the University will be considered.
- Sabbatical programs in pursuit of advanced degrees will not be considered.
- The maximum number of sabbatical leaves allowed for the Faculty in the given year. This number is calculated by the V-Ps office (in accordance with Article A4) and includes carry-forward of under-utilized sabbatical quotas from one year to the next.

5) Based on the factors above and taking into account FEC's recommendations, the Dean will:

- Approve or not approve the sabbatical applications.

6) The Dean will:

- Advise each applicant, in writing, of the decision. Information about sabbatical regulations and information required from the applicant will be provided to the successful applicants.

7) Right of staff member to appeal a sabbatical decision.

Clause A4.02.7 provides Academic Faculty members with the right of appeal of a Dean's decision under certain limited conditions. It reads, *"If the Dean does not approve an application for a sabbatical when FEC has recommended approval and if the quota for the faculty has not been met or exceeded, the staff member may appeal the Dean's decision to the Provost."*

8) As part of the annual reporting process the Academic Faculty member will submit a report summarizing activities undertaken and outputs achieved while on sabbatical. Note that this report should refer to the sabbatical application and provide a detailed report on achievement of the sabbatical goals and outcomes.