



PDADC#106, 2009-10

MEMORANDUM

TO: PDAD&C

FROM: Edith Hillan, Vice-Provost, Faculty and Academic Life

DATE: June 22, 2010

RE: Provost's Guidelines for Budgetary and Non-Budgetary Cross-Appointments

Attached, please find the new Provost's Guidelines for Budgetary and Non-Budgetary Cross-Appointments that will form part of the revised Academic Administrative Procedures Manual for 2010-11.

The Guidelines provided bring together information that is included in a range of policies (e.g. *Policy and Procedure on Academic Appointments, Policy on Promotion*). In particular it includes:-

- Details on the responsibilities of primary and secondary units in the appointment process.
- Details of their responsibilities in regards to the review processes (e.g. Third Year Review, Tenure, and Promotion).
- Clarification of the role of secondary departments in the review processes.
- Details of the formation of tenure committees for faculty members holding budgetary cross-appointments.
- Clarification that faculty must hold non-budgetary cross-appointments to other units (undergraduate and graduate) rather than Status-only appointments.
- A template letter for a non-budgetary cross-appointment has been included.

Provost's Guidelines for Budgetary and Non-Budgetary Cross-Appointments

1.0 Introduction

All continuing full-time University salaried academic appointments are governed by the University of Toronto's *Policy and Procedures on Academic Appointments (PPAA)*. Under this policy, continuing full-time academic appointments with budgetary salary commitments are approved by the Vice-President and Provost of the University on the recommendation of the Chair of the relevant unit and the Dean of the Faculty. The *PPAA* provides for both budgetary (e.g. where salary and funding responsibilities are shared between two or more units or divisions) and non-budgetary cross-appointment (e.g. non-salaried appointment to another unit or division other than their primary appointment) of appointed faculty.

2.0 Budgetary Cross-appointments

A budgetary cross-appointment (sometimes referred to as a 'joint appointment') involves the apportioning of a faculty member's salary and duties between two (or more) units or divisions. A unit/division of primary appointment must always be established where the faculty member has an appointment of 51% or greater, with the remaining 49% the responsibility of the secondary unit/division. In the case of a budgetary cross-appointment that involves more than two units/divisions, the primary unit/division will always retain 51% of the faculty member's appointment, with the remaining 49% explicitly shared between the other units/divisions (e.g. 25% to one unit and 24% to another). Sharing of a faculty member's salary and duties impacts on a number of academic human resource processes at the University, details are provided below.

Please note: In each case, only the information specific to budgetary cross-appointments is included here. Full details can be found in the relevant section of the Academic Administrative Procedures Manual. You should consult this in conjunction with the information provided here.

2.1 Search and Hire

Budgetary cross-appointments are usually determined at the outset of a search. Where this is to occur, the nature of the appointment should be clearly stated in any advertisements. The unit/division heads of all academic units concerned should be involved in the preparation of the 'short list' of candidates; moreover, each of these academic units should be represented on the search committee.

The letter of appointment for new faculty who are to be offered a cross-appointment must be co-signed by the heads of both budgetary areas sharing the appointment. The graduate chair must also co-sign if s/he is not the budgetary unit chair. The report on the search provided in the appointment dossier should include the approval of the relevant unit or division heads.

2.2 Third Year Review

In the case of a faculty member with a budgetary cross-appointment, the *Policy and Procedures on Academic Appointments* states that the review committee must be jointly appointed by the respective heads of the divisions or units where the faculty member holds an appointment of at least 25%.

In the case of faculty who hold budgetary cross-appointments to New College, Innis College, Woodsworth College or University College, the principal does not participate in the appointment of the review committee. The committee must obtain from the principal an appraisal of the

candidate's contribution to the College which is considered along with other relevant evidence of the candidate's scholarly ability. In the case of faculty with primary appointments in programs based at St. Michael's College, the Principal participates fully in the review process.

In conducting the teaching evaluation of a candidate who holds a budgetary cross-appointment, assessments (e.g. course evaluations, peer observations) should be obtained from all the units/divisions where the faculty member provides teaching. This holds for the reviews of teaching that occur in the tenure and promotions processes.

2.3 Tenure Review

In general, the head of the division or unit of primary appointment takes on responsibility for the tenure review. They are responsible for notifying the candidate of their review, gathering material for the tenure committee, establishing the internal committees and the tenure committee and for contacting external referees. The *Policy* states that 'the preparation of documentation must be done in collaboration with the appropriate officers of other divisions in which the candidate holds or has held cross-appointments, and the evidence of this collaboration **must** be placed before the tenure committee'.

The *Policy* provides specific detail on the formation of the tenure committee in the case of a faculty member with a budgetary cross-appointment. The head of the unit or division of primary appointment will contact the head of the unit or division of the secondary appointment and/or graduate chair where applicable concerning membership of and documentation for the tenure committee. With the inclusion of the chair or other academic officer from the cross-appointed division, the tenure committee will have eight voting members instead of the usual seven. In no case should more than eight people serve on the tenure committee.

Therefore, in the case where a faculty member holds one budgetary cross-appointment (including those faculty members with primary appointments in programs based at St. Michael's College), membership of the tenure committee will be as follows:-

1. Chair of the unit/head of the division where the faculty member holds their primary appointment acts as chair of the tenure committee.
2. In multi-department faculties, the committee will also include the dean (or his/her designate who should not be a member of the candidate's home unit)
3. Dean of the School of Graduate Studies (or his/her designate who should not be a member of the candidate's home unit)
4. A faculty member from the primary division of appointment; or in the case where the graduate chair and the budgetary chair are different, the Graduate Chair.
5. Three other faculty members – at least one from within the primary unit of appointment.
6. Chair of the unit/head of the division where secondary appointment is held.

For faculty members whose primary appointment is in a single department faculty, the normal membership will be expanded by one member to include the chair of the unit or head of the division where the secondary appointment is held.

Where a candidate has more than one budgetary cross-appointment, the dean of the division of the primary appointment will decide on and appoint the additional member from one of the units of secondary appointment after consultation with the heads of divisions/chairs of units. The chairs of the secondary units will provide a written evaluation of the candidate but will not be entitled to representation on the committee, or to participate in the selection of committee members or the preparation of the documentation.

Assessments of teaching and scholarly activity should be obtained from all the units/divisions in which a candidate has taught. These should be taken fully into account by the tenure committee. Where a candidate holds a cross-appointment to University College, New College, Innis College and Woodsworth College, the chair must request an evaluation of the candidate's contribution to the College from the College principal. This will be shared with the tenure committee.

2.4 Promotion to Full Professor

The candidate is considered for promotion to Full Professor in the unit or division of primary appointment. As with the other review processes described above, the *Policy on Promotions* states that input should be sought on teaching, service and scholarly activity from the units or divisions where cross-appointments have been or are currently held (this will include course evaluations for all courses taught in the last five years). In addition, the head of the unit of primary appointment should request a list of external reviewers from the head of the secondary unit(s).

2.5 Research and Study leave

The Memorandum of Agreement between the University and the Colleges requires that in cases where faculty members hold College appointments (as listed above), principals should be consulted with regard to leave requests. In cases where a faculty member has a budgetary cross-appointment, the head of the primary appointment unit should ensure that the faculty member's other unit(s) have been consulted.

2.6 Salary and PTR

Each year a PDAD&C memo is issued providing details on the PTR process and salary increase instructions. It contains information pertinent to those with budgetary cross-appointments. In cases where faculty are cross-appointed to another unit/division or where they hold their graduate appointment outside their primary unit, consultation with other unit heads and/or graduate chairs is a critical element of the information gathering process for PTR assessments. Such consultations assist in assessing the faculty member's activities in relation to others in their field. Similarly they may provide an important perspective on a faculty member's graduate teaching and supervision, particularly if this takes place on another campus.

Cross-appointed faculty should only be included in the histogram of the unit where their primary appointment lies. The total increase awarded to the individual should be reflected even though part of this will be provided from another unit's/division's budget.

3.0 Non-Budgetary Cross-appointments

A non-budgetary cross-appointment is offered by a unit to an appointed faculty member from another unit at the University of Toronto. Such appointments are usually made to allow the faculty member to participate more fully in the unit's undergraduate teaching or research programme (when the graduate home is not in the unit of primary appointment).

Please note: Faculty may hold non-budgetary cross-appointments to other units but must not hold Status-only appointments. Status-only appointments are for qualified external faculty only (Please see the *Provost's Guidelines on the Appointment of Status-only, Adjunct and Visiting Professors*)

3.1 Appointment

Non-budgetary cross-appointments are made under an established divisional appointments procedure. The head of the academic unit, following consultation with an appointments committee, can offer non-budgetary cross-appointments. Appointments are normally made for a fixed term of up to five years. Appointments may be renewed at the discretion of the dean.

Non-budgetary cross-appointments must have the consent of all divisions involved and does not confer primary or secondary appointment unit status, or any review or tenure committee rights and responsibilities (except as noted below), upon the units to which these cross-appointments are made.

Faculty with non-budgetary cross-appointments may engage in the teaching, supervision and advising of both undergraduate and graduate students, as well as in committee service to programs. Duties and responsibilities should be included in their letter of offer. A template letter of offer is included as Attachment #1.

3.2 Graduate Appointments

The *Policy and Procedure on Academic Appointments* states that: ‘all faculty appointed to a tenure-stream position shall hold a non-budgetary cross-appointment to an appropriate graduate unit. Decisions regarding such cross-appointments shall be made jointly by the appointing unit and the graduate unit’.

Faculty members who have non-budgetary cross-appointments to another unit may also be recommended for a graduate appointment within that academic unit in accordance with the policies of the School of Graduate Studies.

Non-Budgetary Cross Appointment Template

Date

Dear [],

I am writing with the approval of the Dean of the Faculty of [] to offer you a non-budgetary cross appointment in the [Department/Faculty] of [] at the rank of [].

[] offers non-budgetary cross-appointments only to individuals who are deemed qualified to make a significant contribution to the educational and research activities of the unit. In return, the unit makes a commitment to further the academic activities and progress of all faculty appointees, in recognition of the contributions that they make to the mission of the unit in education and research.

The terms of your appointment are as follows:

Your appointment is for a term of [] years, beginning on [] and ending []. Your appointment will be reviewed in each year of your appointment. There is no right to renewal of your appointment, but renewal may be granted at the Dean's discretion.

Your non-budgetary cross-appointment will automatically terminate on [], and this offer shall constitute notice of termination at that time, unless before that time the Dean advises, in writing that your appointment will be renewed.

Your annual review will be based on your performance in the areas of responsibility outlined as follows:

- (a) Teaching: *[Insert teaching responsibilities as appropriate]*.
- (b) Research: *[Insert research responsibilities as appropriate]*
- (c) Service: *[Insert service responsibilities as appropriate]*

You will be required to submit an annual report to the [Chair/Dean] by March 31 of each year, summarizing your contributions to the division.

Status within the School of Graduate Studies (if applicable)

Expectations/responsibility for payment of graduate student stipends (if applicable)

You are expected to acknowledge your affiliation with the [Department/Faculty] in all publications and scholarly works resulting from your appointment.

The Office of the Vice-President and Provost maintains a set of links to important policies that will govern any teaching or research at <http://www.provost.utoronto.ca/English/Other-Academic-Policies.html>. In particular, I would like to draw your attention to the *Code of Behaviour on Academic Matters* at <http://www.utoronto.ca/govcncl/pap/policies/behaveac.html>, and the *Policy on Conflict of Interest Academic Staff* at <http://www.utoronto.ca/govcncl/pap/policies/conacad.html>. We expect that you will govern yourself in accordance with all applicable faculty and University policies.

Please indicate your acceptance of this appointment under the terms and conditions set out above by returning a copy of this letter to me that has been signed by you and the [Chair/Dean] of your primary appointment unit. Please also keep a copy of the signed letter of offer for your files.

I welcome you as a faculty member and look forward to working with you in the year ahead.

Yours sincerely,

[Chair/Dean]
[Department/Faculty] of []

encls.

Agreed to by: _____ Date: _____
[Candidate's Signature]

Agreed to by: _____ Date: _____
[Signature of Chair/Dean of Unit of Primary Appointment].

Appendix 2: Summary of Budgetary and Non-Budgetary Cross-Appointments

| | Budgetary Cross Appointment | | Non-Budgetary Cross-Appointment | |
|-----------------------------|---|--|---|--|
| | Unit of Primary appointment | Unit(s) of Secondary appointment | Unit of Primary appointment | Unit(s) of Secondary Appointment |
| Search & Hire | <ul style="list-style-type: none"> • Lead in search and hire process | <ul style="list-style-type: none"> • Consulted on membership of search committee • Consulted on 'short list' • Sign letter of offer • Approval of report on the search for appointment dossier | <ul style="list-style-type: none"> • Non-budgetary cross-appointments are not usually made at the time of hire | <ul style="list-style-type: none"> • Obtain consent from primary division. • Provide letter of offer outlining duties. |
| 3 rd Year Review | <ul style="list-style-type: none"> • Lead on appointment of review committee members with division(s) where faculty member holds at least a 25% appointment • Co-ordinate gathering of material | <ul style="list-style-type: none"> • Consulted on membership of review committee • Provide materials as requested. • Input of Graduate Chair on teaching/supervision • If a College appointment, provide appraisal of candidate's contribution | | |
| Tenure Review | <ul style="list-style-type: none"> • Lead in tenure review process. • Collaborate with other division(s) on preparation of documentation. • Consult with other division(s) on membership of tenure committee | <ul style="list-style-type: none"> • Collaborate in preparation of documentation. • Consult on committee membership. • Chair/division head sits on committee. • Provide documentation as requested by Chair (e.g. teaching evaluations, course evaluations) • If a College appointment, provide appraisal of candidate's contribution | | |
| Promotion | <ul style="list-style-type: none"> • Lead in promotion process • Request a list of external referees from head of other division(s) | <ul style="list-style-type: none"> • Provide input on teaching, service and scholarly activity. • Provide list of external referees | | |
| Salary/PTR | <ul style="list-style-type: none"> • Consult with other division head and/or Graduate Chairs • Include cross-appointed faculty in histogram | <ul style="list-style-type: none"> • Consulted as required. • Provide information for histogram as required. | | |
| Research & Study Leave | <ul style="list-style-type: none"> • Consult with other division head on leave requests. | <ul style="list-style-type: none"> • Consult on leave requests as required. | | |
| Graduate appointments | | | <ul style="list-style-type: none"> • Consult on and provide non-budgetary cross-appointment to graduate department | <ul style="list-style-type: none"> • Consult on graduate appointments • Recommend for graduate appointment. |