

Faculty of Graduate Studies

Task Force on

Appointments & Reappointments to the Faculty of Graduate Studies

Consultation Document

November 24, 2009

Overview and Mandate of the Appointments Task Force

In April 2009, the Faculty of Graduate Studies Academic Planning & Policy Committee endorsed the establishment of a task force to review policies and procedures governing faculty appointments to the Faculty of Graduate Studies. The Appointments Task Force was asked to examine Senate Policy and corresponding procedures, with an eye to possible changes that would better reflect and support graduate education at York while streamlining administrative practices. The Task Force was also asked to take into account the University objective that new tenure-stream appointments should be eligible for prompt appointment to a graduate program. It was agreed that the development of any recommendations should include wide consultation, and that formal review and approval of any recommendations would flow through the appropriate FGS and Senate governance channels and processes. The Appointments Task Force was asked to pay particular attention to a number of guiding questions, including:

- What are the objectives of existing Senate policy and procedures?
- Are those objectives clearly articulated?
- Do the guidelines and procedures support the achievement of the objectives in a fair, consistent and timely manner?
- Are the guidelines and procedures structured to provide appropriate levels/types of oversight and “quality control” without unnecessary review/approval stages or duplication of effort?

Issues

The existing Senate policy (Appointment and Periodic Review of Appointment in the Faculty of Graduate Studies) was developed twenty years ago. Recently, many Graduate Program Directors, faculty and academic administrators have observed that the existing policy and corresponding procedures are unnecessarily cumbersome and bureaucratic, particularly in light of the growing number and diversity of graduate programs as well as the anticipated changes to the OCGS appraisal process. With the questions outlined above framing their discussion, the Task Force identified a number of issues:

- a lack of clarity regarding the role of hiring units, particularly in relation to the University objective that new tenure-stream appointments should be eligible for prompt appointment to a graduate program;
- a lack of clarity regarding the role of Graduate Programs (particularly Graduate Program Directors and Executive Committees) in the appointment process;
- a lack of clarity regarding the role of the Faculty of Graduate Studies in the appointment process;

- a lack of clarity about the primary objective(s) of Senate policy and program-specific appointment criteria;
- a lack of clarity regarding ongoing research contributions as a Faculty-wide criteria for appointment, particularly in relation to the use of quantitative indicators (e.g. minimum number of peer reviewed publications/presentations/projects within a specified time period);
- an oversight and “quality control” function that is hampered by program-specific appointment criteria that are at times too vague, particularly in relation to eligibility for principal supervision of doctoral dissertations;
- unnecessary duplication of effort at the program-level and Faculty-level;
- delays caused by an overly prescriptive processes, including mandatory reappointment of all faculty to graduate programs on a seven year cycle (i.e. coincident with the program’s OCGS periodic appraisal);
- the establishment of new programs and growth of existing programs that do not easily or clearly fit within existing Senate policy.

Preliminary Recommendations and Consultations

This consultation document is intended to provide a series preliminary recommendations, which are informed by, but do not necessarily address, all the issues outlined above. In light of these issues, however, many of the recommendations – especially those that represent significant changes to existing policy – demand and will benefit from broad consultation and further deliberation. While some procedural recommendations are included in the consultation document, the implementation of these recommendations also requires further thought. Feedback regarding potential implementation issues and procedural questions is welcomed and appreciated.

Feedback to this consultation document may be sent to the Task Force care of Paul Tonin (by hard copy to Faculty of Graduate Studies, 283 York Lanes or by e-mail to fgsaao@yorku.ca). **The Task Force would appreciate receiving your feedback by February 1, 2010.** Following consultation and in light of feedback received, the Task Force hopes to develop a proposal for review and approval in the Spring 2010.

The Task Force’s preliminary recommendations are divided into four mutually related areas, which reflect the main components of existing Senate policy:

- Appointment Criteria
- Appointment Terms
- Appointment Categories and Eligibility
- Review and Approval Procedures

The preliminary recommendations are listed below, with more detailed contextual information provided in the Background & Rationale section of this consultation document.

Preliminary Recommendations Regarding Appointment Criteria

- In relation to faculty who do not hold a PhD or equivalent degree type, that Senate policy and program-specific appointment criteria more explicitly address the nature of achievement necessary (i.e. completion of a sustained research project or creative project that includes a significant research component, equivalent to a doctoral dissertation) and possible means of demonstrating this achievement, particularly in relation to eligibility for principal supervision of doctoral dissertations.
- That existing Senate criteria be revised to include a clearer description of the general characteristics of peer-adjudicated work, which would in turn guide the development of program specific appointment criteria.
- That existing Senate criteria regarding continuing contribution to research or scholarship or professional or artistic activity (particularly the emphasis on the individual's peer-adjudicated work during the previous seven years for all graduate programs) be revised such that programs have more flexibility in determining to what extent and how criteria regarding contributing contribution should inform appointment recommendations/approvals.

Preliminary Recommendations Regarding Appointment Terms

- That the appointment term for faculty who hold a tenure-track/tenured or contractually limited position at York may be for a limited term or may be continuing. Appointments categorized as continuing remain in place unless it is determined that the individual is no longer eligible as approved and/or their tenure-track/tenured or contractually limited position at York comes to an end. Re-appointment of continuing appointments in conjunction with a program's periodic appraisal is not required. Re-appointment of continuing appointments due to promotions (e.g. from pre-candidacy to candidacy; from candidacy to assistant; etc.) is not required.

Preliminary Recommendations Regarding Appointment Categories and Eligibility

- That Senate policy be revised so there are five appointment categories, as follows:

Full Membership – Full members must hold a tenure-track/tenured position at York. They may act as the principal or as a co-supervisor of doctoral dissertations and master's theses; may serve on supervisory and examining committees; may teach graduate course courses (including supervision of Major Research Papers/Projects); and may participate in the decision-making process of the program. Full members may hold an appointment that is continuing unless (i) a limited term is deemed appropriate, (ii) it is determined that the individual is no longer eligible for Full Membership, and/or (iii) their tenure-track/tenured position at York comes to an end.

Associate Membership – Associate members must hold a tenure-track/tenured or contractually limited position at York. They may be permitted act as a co-supervisor of doctoral dissertations; may act as the principal or as a co-supervisor of master's theses; may serve on supervisory and examining committees; may teach graduate course courses (including supervision of Major Research Papers/Projects); and may participate in the decision-making process of the program. Associate members may not act as the

principal supervisor of doctoral dissertations and may serve as a co-supervisor of doctoral dissertations on the condition that the other co-supervisor is a full member of the graduate program. The graduate program may place further limitations on the activities of associate members. Associate members may hold an appointment that is continuing unless (i) a limited term is deemed appropriate, (ii) it is determined that the individual is no longer eligible for Associate Membership, and/or (iii) their tenure-track/tenured or contractually limited position at York comes to an end.

Members Emeriti – According to Senate Policy on Honorific Professorships, “the status of Emeritus/a will be conferred on all retiring full-time faculty members and professional librarians with the expectation of continued involvement in the intellectual life of the University.” With this definition in mind, retired York faculty may be appointed to a graduate program under the Members Emeriti category and may be permitted to act as a co-supervisor of doctoral dissertations; may act as the principal or as a co-supervisor of master’s theses; may serve on supervisory and examining committees; may teach graduate course courses (including supervision of Major Research Papers/Projects); and may participate in the decision-making process of the program. Members Emeriti may continue ongoing principal supervisions of doctoral dissertations begun prior to retirement but normally may not take on new principal supervisions of doctoral dissertations. Should program need arise, Members Emeriti may be eligible to act as principal supervisor of doctoral dissertations, on the condition that another member of the supervisory committee would be willing and able to act as principal supervisor, and subject to the approval of the Dean of the Faculty of Graduate Studies. Members Emeriti may serve as a co-supervisor of doctoral dissertations on the condition that the other co-supervisor is a full member of the graduate program. The graduate program may place further limitations on the activities of Members Emeriti. The appointment term of Members Emeriti is normally one to three years, and is renewable, with the exception of Distinguished Research Professors, who are appointed to the Faculty of Graduate Studies for life. (The title of Distinguished Research Professor is awarded for life and evolves into Distinguished Research Professorship Emeritus upon retirement.)

Adjunct Membership – Adjunct members may include visiting professors, adjunct faculty, and research fellows. Adjunct members may be permitted to serve on supervisory committees but normally may not act as principal supervisor or co-supervisor of doctoral dissertations or master’s theses. In exceptional circumstances, and subject to the approval of the Dean of the Faculty of Graduate Studies, adjunct faculty may act as a co-supervisor of doctoral dissertations or master’s theses. In such cases, the other co-supervisor must be a full member of the graduate program. Adjunct members may be permitted to serve on examining committees but may not act as the Chair or Dean’s representative on examining committees. Adjunct members may be permitted to participate in the decision-making process of the program. The graduate program may place further limitations on the activities of adjunct members. Adjunct members hold a limited-term appointment. For adjunct faculty, the term of appointment is normally one to three years, may not exceed five years, and is renewable. For visiting professors, the term of appointment may be as long as they are appointed to the University, but may not exceed three years. Adjunct faculty and visiting professors may be eligible for graduate course directorship, but, where and as appropriate, must apply for part-time teaching in addition to and outside of their adjunct membership. The provisions of the CUPE 3903 Collective Agreement must be followed in applying for and receiving such part-time teaching appointments, except for those Faculties which are exempt.

Temporary Instructor Membership – Based on program need, programs may recommend for approval the appointment of individuals to teach specific graduate courses. The appointment term is coincident with the term(s) over which the specific graduate course is offered, and is renewable. Although senior academic qualification (e.g. PhD or equivalent) and experience is desirable for Temporary Instructor Membership, this not essential and is largely contingent upon the nature of the specific program and course. Separate from and in addition to review and approval of such recommendations within the Faculty of Graduate Studies, the provisions of the CUPE 3903 Collective Agreement must be followed in applying for and receiving such part-time teaching appointments, except for those Faculties which are exempt.

- That Senate policy maintain the opportunity for individuals who hold a tenure-track/tenured position at York, but for whom there is currently no appropriate graduate program with which to be associated, to be appointed to the Faculty of Graduate Studies as independent members (under the Associate Membership category). Independent members are eligible for graduate teaching and graduate committee service. The appointment term of independent members is normally three to seven years, and is renewable. The Dean or Principal, or designate, will assume the role of Graduate Program Director with respect to all aspects of the appointments recommendation process.

Preliminary Recommendations Regarding Review and Approval Procedures

- That each Graduate Program Director establish a committee to advise on program-specific appointment criteria and appointments. Normally the Executive Committee of the graduate program will serve this purpose. The Executive Committee may set up additional committees, in accordance with the authority delegated to it by the graduate program and as appropriate. The composition of the relevant committee should be known to the program and should change over time. The relevant committee may delegate responsibility to the Graduate Program Director regarding the approval or recommendation for approval of appointments to the program, as appropriate.
- That each program be required to develop program-specific criteria that are consistent with Senate policy.
- That the Faculty of Graduate Studies Academic Planning and Policy Committee be responsible for recommending for approval to Faculty of Graduate Studies Council new and revised program criteria.
- That the appointment of Associate Members, Members Emeriti and Adjunct Members be at the initiative of the graduate program. The Graduate Program Director (and, for the Schulich School of Business, Faculty of Environmental Studies and Osgoode Hall Law School, the Dean of the relevant Faculty) shall be responsible for ensuring that appointed faculty meet the Senate and program-specific criteria. For such appointments, no further review/approval at the Faculty-level is required. However, it is anticipated that programs will be responsible for submitting a completed appointment form/checklist to the Faculty of Graduate Studies to ensure that Faculty records are kept up-to-date.
- That the appointment of Temporary Instructor Members includes review and recommendation for approval at the Faculty-level by the Faculty of Graduate Studies Academic Planning and Policy Committee. The committee may delegate responsibility to the Associate Dean (Academic)/Secretary of FGS Council, as appropriate.

- That the initial appointment of faculty as a Full Member includes review and recommendation for approval at the Faculty-level by the Faculty of Graduate Studies Academic Planning and Policy Committee. The committee may delegate responsibility to the Associate Dean (Academic)/Secretary of FGS Council, as appropriate.
- For individuals with an approved appointment as a Full Member in a one graduate program, that subsequent recommendations for Full Membership in another graduate program not require review/approval at the Faculty-level. (However, as is currently the case, individuals appointed to more than one graduate program must specify their primary graduate program.)
- That Senate policy should include more explicit guidelines/expectations regarding the designation of a primary graduate program, including how the designation should be determined (e.g. normally, the graduate program to which an individual was considered ready for prompt appointment at the time of their hiring) and what that designation is intended to signify (e.g. principal commitment in relation to graduate teaching, supervision and service).
- On annual basis, the Dean of Graduate Studies will inform the President of new appointments to the Faculty of Graduate Studies.
- That each program be responsible for reviewing as often as possible/necessary all appointments to ensure that each appointee continues to meet Senate and program criteria. At a minimum, such a review must be done in conjunction with the program's cyclical appraisal without, however, the need submit full reappointment packages for those faculty with continuing appointments who continue to be eligible for appointment. It is anticipated that graduate programs will be asked to provide updates to their membership lists to ensure that Faculty records are kept up-to-date.
- That the Faculty of Graduate Studies Academic Planning and Policy Committee may at any time review appointments to a graduate program to determine whether the members have been appointed in accordance with the appointment process, including consistency with the program criteria. Upon request, the graduate program will supply the Faculty of Graduate Studies Academic Planning and Policy Committee with evidence, including curricula vitarum, that a particular appointment is consistent with the program criteria.
- That appeal guidelines and procedures be included in Senate policy (taking into consideration the disestablishment of the Senate Review Committee on Graduate Studies Appointments)

Background & Rationale for Preliminary Recommendations

The existing Senate Policy on Appointment and Periodic Review of Appointment in the Faculty of Graduate Studies was approved by Senate in 1990. The primary objectives of Senate policy are to ensure the maintenance of high standards in graduate education, to ensure the strength and quality of graduate programs, and to ensure that graduate students are appropriately supported in their academic activities. The Task Force believes that these objectives should continue to inform Senate policy and procedures. However, many of the issues identified by the Task Force revolve around how these objectives have been articulated in or put into play by the existing policy. Included below is more detailed contextual information regarding the Task Force's preliminary

recommendations. As with the recommendations, this contextual information is divided into four mutually related areas, which reflect the main components of the existing policy.

Appointment Criteria

Section 3 of the Senate policy provides detailed information regarding the criteria for appointment. The basic criteria are provided in section 3.01, as follows:

A candidate for Continuing Appointment or for Limited Term Appointment and a member of the Faculty of Graduate Studies subject to periodic review pursuant to section 5 must:

1. hold a PhD (or equivalent) degree or otherwise have demonstrated achievement as a researcher, scholar, professional or artist in accordance with the expectations of the discipline;
2. demonstrate that he or she is continuing to make a contribution to research or scholarship or professional or artistic activity in a form which is available for peer review and critical analysis; and
3. where previously engaged in graduate teaching or supervision, demonstrate satisfactory performance as an instructor and/or supervisor.

As noted above, the Task Force asked to take into account the University objective that new tenure-stream appointments should be eligible for prompt appointment to the Faculty of Graduate Studies. This is an objective that the Task Force fully endorses and which is a condition of a number of its preliminary recommendations.

The criteria rightfully recognizes that the PhD should *not* be regarded as the standard qualification in certain disciplines and that there are other degree types that are considered equivalent to the PhD in relation to the level and nature of academic qualification. However, existing Senate Policy provides little guidance as to how “achievement as a researcher, scholar, professional or artist in accordance with the expectations of the discipline” should be addressed and evaluated for those faculty who do not hold a PhD or equivalent degree type. While this lack of guidance in Senate policy is rarely an issue for graduate programs in the liberal arts and in the sciences, a PhD or equivalent degree type is a desirable but *not necessary* qualification for many professional programs and programs in the fine arts. Given the diversity of graduate programs at York, and the importance of finding a balance between Faculty-wide and program-specific expectations and norms, the Task Force believes Senate policy and, where appropriate, program-specific appointment criteria should more explicitly address the nature of achievement necessary and possible means of demonstrating this achievement for those faculty who do not hold a PhD or equivalent degree type.

Since one of the primary objectives of the appointments policy is to ensure that graduate students are appropriately supported in their academic activities, the Task Force believes that the nature of achievement necessary and possible means of demonstrating this achievement should be framed in relation to an individual’s ability to provide the appropriate support to graduate students, particularly for principal supervision of doctoral dissertations. With this in mind, the Task Force believes that completion of a sustained research project equivalent to a doctoral dissertation is an appropriate description of the nature of achievement necessary (and appropriate generalized appointment criteria) for faculty who do not hold a PhD or equivalent degree type. The more specific means through which this achievement can be demonstrated, including clear direction regarding the expectations in relation to eligibility for principal supervision of doctoral dissertations, is something that would need to be more clearly articulated in program criteria, as appropriate. For example, although in recent years Osgoode has

primarily hired candidates who have doctoral degrees or doctoral studies in progress (whether in Law or another discipline), they have hired and continue to consider candidates who have completed non-doctoral graduate programs or otherwise have equivalent credentials. In many cases, these faculty members have chaired task forces of provincial or national importance that require a significant research and analytical component and culminate in a public report.

Moving from the demonstrated achievement as a researcher, scholar, professional or artist in accordance with the expectations of the discipline (i.e. past accomplishments or held qualifications), the criteria in Senate policy turns its attention continuing contribution in a form which is available for peer review and critical analysis. Senate policy includes five factors that should be taken into account in relation to the how demonstration of continuing contribution should be assessed. Of these five factors, "particular emphasis shall be given to the individual's peer-adjudicated work during the previous seven years, assessed in the context of the individual's past contributions to research, scholarship, professional or artistic activity." The Task Force believes that existing Senate criteria regarding continuing contribution (particularly the emphasis on the individual's peer-adjudicated work during the previous seven years for all graduate programs) should be revised such that programs have more flexibility in determining to what extent and how criteria regarding contributing contribution should inform appointment recommendations/approvals. This recommendation is made with the understanding that Senate policy and program-specific criteria will continue to include guidelines regarding held qualifications/accomplishments, as outlined above. The Task Force believes that increased flexibility with regard to contributing contribution criteria will allow programs to develop modes of qualitative assessment that better reflect and represent disciplinary or program-specific expectations. Further, the Task Force believes that clearly articulated appointment criteria will also help inform and support hiring units, particularly in relation to the objective that new tenure-stream appointments should be eligible for prompt appointment to the Faculty of Graduate Studies.

Appointment Terms

Of particular interest to the Task Force was the requirement that all faculty appointments to a graduate program must be reviewed at least every seven years, normally in conjunction with the program's OCGS periodic appraisal. As currently practiced, this requirement includes the submission of a full appointment package for each faculty member (Recommendation for Reappointment Form; CV in OCGS format; and rationale for appointment, where appropriate). Further, given existing Senate policy, FGS requires submission of a Changes to Recommendation for Re/Appointment in all cases that involve a change in a faculty member's appointment as defined in Senate policy pertaining to tenure and promotion (i.e. from pre-candidacy to candidacy; from Assistant to Associate; and from Associate to Full). While the Task Force recognizes and supports the need for programs to review, in a timely manner, the appointment of tenured and tenure-track faculty, there was agreement that the manner in which this requirement is currently put into practice is unnecessarily cumbersome and bureaucratic. The Task Force's preliminary recommendations regarding appointment terms (and corresponding recommendations regarding appointment criteria, appointment categories and eligibility, and review and approval procedures) are intended to remove unnecessary reappointment requirements and procedures while at same time providing appropriate guidelines and expectations with regard to "quality control".

Appointment Categories and Eligibility

Existing Senate policy includes the following list with regard to appointment categories:

1. faculty in candidacy or pre-candidacy categories as defined in Senate legislation pertaining to tenure;
2. visiting professors;
3. contractually-limited faculty;
4. adjunct faculty;
5. part-time instructors;
6. Canada Research Fellows, Natural Sciences and Engineering Research Council University Research Fellows;
7. retired members of faculty
8. tenured members of the full-time faculty who are appointed as provided in section 3.02(5); and
9. other categories as may be designated by the Council of the Faculty of Graduate Studies and approved by Senate.

The existing Faculty of Graduate Studies Recommendation for Appointment or Reappointment form includes the following list with regard to eligibility and limitations:

- Principal supervisor of doctoral dissertations
- Co-supervision of doctoral dissertations
- Principal supervisor of master's theses
- Co-supervision of master's theses
- Membership on supervisory and examining committees
- Graduate course directorship (including supervision of MRPs)
- Participation in the decision-making of the program

The Task Force's recommendation regarding the establishment of five appointment categories (Full Membership, Associate Membership, Members Emeriti, Adjunct Membership and Temporary Instructor Membership) is essentially a re-grouping or reorganization of the existing appointment category and eligibility information included in Senate policy. This recommended re-grouping or reorganization is intended to clarify and simplify the existing appointment category and eligibility information.

Review and Approval Procedures

According to existing Senate policy, an individual appointed to the Schulich School of Business, the Faculty of Environmental Studies or Osgoode Hall Law School

[...] shall hold a Limited Term or Continuing Appointment to the Faculty of Graduate Studies. The Graduate Programme Director and the Dean of the Faculty/School shall be responsible for ensuring that each such individual engaged in graduate instruction meets the criteria for membership in the Faculty of Graduate Studies, as these criteria are interpreted within the framework of these Graduate Programme's academic and professional norms and curricular needs. However, an individual appointed to these Graduate Programmes shall not be authorized to serve as principal supervisor of a doctoral dissertation unless specifically approved for that purpose in accordance with section 7 [which lays out the procedures and appeals with respect to appointments]. (section 3.04)

The Task Force believes that a modified version of the policy and procedures currently in place for the Schulich School of Business, the Faculty of Environmental Studies and Osgoode Hall Law School should be established for all graduate programs at York. In other words, each

graduate program should be the body responsible for the appointment of faculty members to their program, with the exception of authorization to serve as principal supervisor of doctoral dissertations, which should, in the first instance for each individual, require review and recommendation for approval at the Faculty-level. This rather significant shift in Senate policy governing appointments would involve a series of mutually-related changes or refinements to the review and approval procedures. The Task Force believes that Faculty-level review and recommendation for approval should also extend to the Temporary Instructor Membership category, under which programs may recommend, based on program need, for the appointment of individuals to teach specific graduate courses.

Three of the Task Force's preliminary recommendations that involve significant changes to existing policy (i.e. to demonstrated achievement and continuing contribution criteria, to the definition and conditions of continuing appointments, and to procedures with respect to appointments) also involve a delegation of responsibility to individual graduate programs. Graduate education at York has greatly matured over the past twenty years. Although research is a priority in the University Academic Plan, the priority is the *enhancement* of the research culture at York. In other words, the objectives outlined in the UAP with respect to research are an acknowledgement of York's status as a research institution. Further, in the UAP it is also acknowledged that "all of our research objectives depend on making outstanding faculty appointments". Given the ongoing maturity of the research culture at York and the explicit expectation that successful candidates for faculty positions must be eligible for prompt appointment to the Faculty of Graduate Studies, the Task Force believes that greater delegation to individual graduate programs is appropriate.

At the same time, the Task Force believes that this delegation should not take place without some changes to the policy that are intended to ensure oversight of the appointments process in a clear and effective manner. For example, the success and effectiveness of the preliminary recommendations regarding appointment criteria is largely contingent upon program-specific criteria that are clearly articulated and reasonably applied at the program level. For this reason, the Task Force's preliminary recommendations include a series of changes that are intended to confirm the role of the program in the development of program-specific criteria and assessment of individuals for appointment as well as the role of the Faculty in an oversight capacity (in relation to review and approval of program criteria) and assessment of individuals for appointment (in relation to the initial assessment of faculty for principal supervision of doctoral dissertations). The Task Force believes that the preliminary recommendations provide a mutually related series of changes that will support in a less cumbersome manner the objectives of existing Senate policy: to ensure the maintenance of high standards in graduate education, to ensure the strength and quality of graduate programs, and to ensure that graduate students are appropriately supported in their academic activities.

Membership of the Task Force

- Asia Weiss, Associate Dean (Academic), Graduate Studies/Professor, Mathematics & Statistics (*Chair*)
- Douglas Peers, Dean, Graduate Studies/Professor, History
- Suzanne MacDonald, Chair and Associate Professor, Psychology
- Ben Richardson, Graduate Program Director and Associate Professor, Law
- Nell Tenhaaf, Associate Dean, Fine Arts/Associate Professor, Visual Arts
- Daphne Winland, Graduate Program Director and Associate Professor, Anthropology
- Paul Tonin, Academic Affairs Officer, Graduate Studies (*Secretary*)