

PROCEDURES FOR JOINT APPOINTMENTS

WITHIN THE UNIVERSITY

PREAMBLE

In the spring of 1997, the Provost & Vice-President (Academic) announced a Special Faculty Renewal Initiative resulting in the allocation of 20 new academic appointments providing opportunities for research and education straddling two Faculties. While *Conditions of Appointment* provides for joint appointment arrangements and a limited number of such appointments have existed across campus for some time, the references in *Conditions* do not provide sufficient guidance for the administration of these appointments. These new cross-Faculty appointments call for more explicit and elaborate procedures that provide for consistent and well-understood processes of appointment, the handling of procedures for annual performance appraisal and development, promotion and tenure, etc, for joint appointees with responsibilities spanning two or more Faculties. These procedures are consistent with *Conditions of Appointment* and based on the principle that the academic administration of joint appointments should as much as possible be a single joint process rather than parallel but separate processes occurring more or less independently in the two (or more) academic units involved in the appointment.

Appointments Procedure for Joint Appointments

(These detailed appointment procedures are an elaboration of, and consistent with, the appointment procedures contained in Section A - Appointments in Conditions of Appointment.)

1. All open joint academic positions proposed in two or more academic units shall be considered by a Joint Appointments Committee, the composition of which shall be:

(a) the Chair of each Department in which the appointment will be held (or Dean of each Faculty in Faculties without departmental structure) who shall jointly chair the Committee;

(b) at least one full-time tenured member from each Department (Faculty) Committee on Appointments, elected to the Joint Appointments Committee by the members of his/her Department (Faculty) Committee on Appointments; *(See Note 1 below.)*

(c) in addition, if a Department (Faculty) Committee on Appointments so chooses, student members and/or untenured members of the Department (Faculty) Committee on Appointments, elected to the Joint Appointments Committee by the members of the Department (Faculty) Committee on Appointments. *(See Note 1 below.)*

The membership of the Joint Appointments Committee shall be composed of an equal number of members from each academic unit.

Note: 1. *In lieu of 1(b) and (c) above, if a joint appointment includes a clinical Department, the members of the clinical Department's Committee on Appointments and Promotion shall elect at least one member from their Committee to the Joint Department Committee.*

2. If a joint appointment includes The Centre for Women's Studies, the Director of the Centre shall be deemed to be a Department Chair for the purposes of the appointment procedure and the relevant Dean shall be designated by the Centre's Advisory Committee. The Centre's

Advisory Committee shall appoint members of faculty to the Joint Appointments Committee, including at least one full-time tenured member of faculty.

2. A quorum shall consist of two-thirds of the members (and must include the Chair of each Department, or Dean of each Faculty in Faculties without departmental structure, plus one other member from each unit).
3. The provisions of A.12 to A.17 of Conditions of Appointment relating to an Appointments Committee and Department Chair shall apply *mutatis mutandis* to a Joint Appointments Committee and to the Chairs of the Joint Appointments Committee. The Chairs of the Joint Appointments Committee shall forward a joint recommendation. If they are unable to agree on a recommendation, each shall forward a separate recommendation.

Note: *If a joint appointment includes a School in the Faculty of Health Sciences, written recommendations for appointments, as provided in Alternate Procedures, Faculty of Health Sciences Appointments Committee, shall be made to the Joint Appointments Committee.*
4. If the academic units are in one Faculty, the Dean shall follow the procedures set out in A.16(b).
5. If the academic units are Faculties without departmental structure, the recommendations of the Joint Appointments Committee and the joint recommendation of the Deans (or separate recommendations if the Deans are unable to agree on a recommendation) shall be forwarded as set out in A.17(a) and (b).
6. If the academic units are in two or more Faculties with departmental structure, or if the academic units are in a Faculty/Faculties with departmental structure and a Faculty/Faculties without departmental structure, the recommendations of the Joint Appointments Committee and the Chairs of the Committee shall be sent to the Deans of the Faculties/Dean of the Faculty with departmental structure. The Deans of all of the Faculties involved in the appointment shall forward their joint recommendation (or separate recommendations if the Deans are unable to agree on a recommendation) as set out in A.16(b)(i) and (ii). A Dean of a Faculty without departmental structure who has made a recommendation or a joint recommendations as a Chair of a Joint Appointments Committee shall also forward a joint recommendations with the other Dean(s).
7. The Chairs of the Joint Appointments Committee shall jointly undertake negotiations with the candidate as required under A.18.
8. If the appointment is in one Faculty, the Dean shall inform the prospective faculty member in writing of the terms and conditions of his/her appointment (A.19). If the appointment is across two or more Faculties, the appointment letter will be signed by both/all Deans. Such terms and conditions must also be approved, in writing, by the Provost.
9. The designation of the home academic unit shall be communicated to the prospective faculty member at the time of appointment. Although all substantive aspects will be performed jointly by the academic units involved, for administrative purposes the home academic unit will be responsible for establishing and maintaining a promotion and/or tenure file; ensuring that a Joint Committee on Promotion and Tenure is established when necessary; ensuring that a joint performance evaluation is undertaken when required; processing leave applications, etc. If the home academic unit is a department, that department's Faculty shall be the home Faculty, and shall be so designated at the time of the appointment. The home Faculty shall be responsible for administering at the Faculty level, matters as they pertain to Conditions of Appointment. Such matters shall include the following: contacting external referees as required; ensuring that a Joint Faculty Committee on Promotion and Tenure is established where required, etc.
10. University listings and other publications will acknowledge both academic units. For example, under Faculty listings in the Academic Calendar, the other academic units in which an appointment is held will be

listed after the faculty member's name ("also in Physics").

Faculty Evaluation for Joint Appointments

1. The annual performance evaluation and faculty development is the joint responsibility of the heads of the academic units in which the faculty member holds an appointment. Deans/Chairs involved in joint appointments should establish a joint process of annual evaluation and development that ensures that all aspects of the faculty member's performance are reviewed in one integrated process.
2. As for all members of faculty, the procedure for determining Selective Salary Adjustments for a faculty member holding a joint appointment is determined by agreement arising from negotiations regarding Faculty remuneration between the University and The University of Western Ontario Faculty Association.

Guidelines on Expectations, Rights and Responsibilities of Joint Appointees within the University

Teaching Responsibilities

The teaching responsibilities of joint appointees will be assigned on the basis of agreement between (among) the Department Chairs (Deans in non-departmentalized Faculties) and with the approval of the Faculty Dean(s). Joint decisions as to teaching responsibilities will be made by the Department Chairs (Deans) on a yearly basis.

Research Responsibilities

It is expected that the joint appointee's research may be carried out either in one or in both (all) units. It is the responsibility of all Chairs (Deans) to jointly assess the research requirements of the joint appointee, including the commitment of research facilities, equipment and space. It is expected that such assessment will be done at the time a joint appointment is made, but it may be reviewed by the Department Chairs (Deans) from time to time at the request of the faculty member or at the request of a Department Chair or Dean.

When a joint appointee applies for research funds and the approval or support of the Chair of the Department (Dean of the Faculty) is required, the Chair (Dean) of the Department (Faculty) most closely associated with the research shall take the necessary action.

Other Contributions

A joint appointee is expected to undertake the normal faculty responsibilities commensurate with his/her rank. The joint appointee will be responsible to all Department Chairs (or Deans) in the Departments (Faculties) in which he/she holds a joint appointment, will be provided with office space in all units, and will carry administrative responsibilities in all units in which he/she holds a joint appointment. The division of such responsibilities among the Departments (Faculties) must be approved jointly on a yearly basis by the Chairs (Deans) of the relevant Departments (Faculties).

The joint appointee shall be regarded as a full-time member of the Departments (Faculties) in which he/she holds a joint appointment for the purposes of eligibility to vote in elections at the Department, Faculty and University level, and to stand for election or appointment to committees and bodies at these levels, provided however that such administrative or other responsibilities do not adversely affect the appointee's responsibilities in the other Departments (Faculties).

- a) In an election of faculty to the Board of Governors, or any other University-wide election among all faculty, the joint appointee shall have one vote;

b) In an election to select a number of representatives from each Faculty to the Senate or other University-level body, a faculty member with a joint appointment in two or more Faculties may cast one vote in each Faculty in which he/she has an appointment. A faculty member whose departments are within the same Faculty may cast only one vote in such an election.

Promotion and Tenure Procedures for Joint Appointments

(These detailed promotion and tenure procedures are an elaboration of, and consistent with, the procedures contained in Section B - Promotion and Tenure in Conditions of Appointment.)

It is the responsibility of the head of the home academic unit (as designated in the letter of appointment) to establish and maintain a promotion and/or tenure file for a joint appointee who is a candidate for promotion and/or tenure.

Except where specific elaboration is provided here, the provisions relating to Department Committees and Faculty Committees on Promotion and Tenure in Section B of Conditions of Appointment apply to Joint Department Committees and Joint Faculty Committees.

Joint Department Committee

1. If the joint appointee holds a joint appointment in two or more Departments OR in one or more Departments in combination with one or more Faculties without departmental structure, the composition of the Joint Department Committee on Promotion and Tenure is as follows:

(a) the Chairs of the Departments and, if applicable, such person as the Dean of each Faculty without departmental structure may appoint, who shall jointly chair the Committee;

(b) at least one full-time tenured member from each Department (or Faculty without departmental structure) who is a member of the Department (Faculty) Committee on Promotion and Tenure, elected to the Joint Department Committee by the members of his/her Department (Faculty) Committee on Promotion and Tenure; (*See Note 1 below.*)

(c) in addition, if a Department (Faculty) Committee so chooses, student members and/or untenured members of the Department (Faculty) Committee on Promotion and Tenure, elected to the Joint Department Committee by the members of the Department (Faculty) Committee on Promotion and Tenure. (*See Note 1 below.*)

The membership of a Joint Department Committee shall be composed of an equal number of members from each academic unit.

Note: 1. *In lieu of 1(b) and (c) above, if a joint appointment includes a clinical Department, the members of the clinical Department's Committee on Appointments and Promotion shall elect at least one member from their Committee to the Joint Department Committee.*

2. *If a joint appointment includes The Centre for Women's Studies, the Director of the Centre shall be deemed to be a Department Chair for the purposes of the promotion and tenure procedure and the appropriate Dean and Faculty shall be designated by the Centre's Advisory Committee. The Centre's Advisory Committee shall appoint members of faculty to the Joint Department Committee, including at least one full-time tenured member of faculty.*

2. No member of a Joint Department Committee shall consider the case at another level.

3. A quorum of the Joint Department Committee shall consist of two-thirds of the members (and must include two members from each unit).
4. The Joint Department Committee shall be convened by the Chair of the home Department (or the Dean's appointee on the Committee if the home unit is a Faculty without departmental structure).
5. The Chairs of the Joint Department Committee shall forward the recommendation of the Joint Department Committee together with the joint recommendation of the Chairs to the Dean of the home Faculty. If the Chairs cannot agree on the recommendation, a separate recommendation shall be forwarded from each Chair.
6. If the recommendation of one or more of the Chairs or of the Joint Department Committee is positive, the recommendation shall be considered by the Faculty Committee on Promotion and Tenure (or the Joint Faculty Committee on Promotion and Tenure if the appointment is across two or more Faculties).
7. If the final recommendations of all of the Chairs and of the Joint Department Committee are negative, an appeal may be made to the Faculty Committee on Promotion and Tenure (or Joint Faculty Committee on Promotion and Tenure if the appointment is across two or more Faculties).

Note: *If a joint appointment includes a School in the Faculty of Health Sciences, the Director of the School must submit a written opinion to, and shall appear before, the Joint Department Committee (or Joint Faculty Committee if the appointment is in Faculties without departmental Structure) as provided in Alternate Procedures, Faculty of Health Sciences Promotion and Tenure Committee.*

Joint Faculty Committee on Promotion and Tenure (Faculties without Departmental Structure)

8. If the joint appointee holds an appointment in two or more Faculties without departmental structure, the composition of the Joint Faculty Committee on Promotion and Tenure is as follows:
 - (a) the Deans of the Faculties who shall jointly chair the Committee;
 - (b) at least three tenured members from each Faculty Committee on Promotion and Tenure, elected to the Joint Committee by the members of their Faculty's Promotion and Tenure Committee, and one of whom shall be a Professor from outside the Faculty;
 - (c) where a Faculty Committee so chooses, one student member or untenured member of the Faculty Committee on Promotion and Tenure, elected to the Joint Faculty Committee by the members of the Committee.

The membership of a Joint Faculty Committee shall be composed of an equal number of members from each academic unit.

9. A quorum of the Joint Faculty Committee shall consist of two-thirds of the members (and must include two members from each unit).
10. The Joint Faculty Committee shall be convened by the Dean of the home Faculty.
11. The Deans shall forward the recommendation of the Joint Faculty Committee together with their joint recommendation to the Provost. If the Deans cannot agree on the recommendation, a separate recommendation shall be forwarded from each Dean.

12. If the final recommendation of one or more of the Deans or the Committee is positive, the recommendation shall be considered by the appropriate Senate Committee.

13. If the final recommendations of all Deans and the Joint Faculty Committee are negative, an appeal may be made to the appropriate Senate Committee on Promotion and Tenure.

Joint Faculty Committee on Promotion and Tenure (Faculties with Departmental Structure or Faculty/Faculties with Departmental Structure Combined with Faculty/Faculties without Departmental Structure)

Note: *If the joint appointee holds an appointment in two or more departments of one Faculty, the regularly constituted Faculty Committee on Promotion and Tenure as set out in Conditions of Appointment will consider the case.*

14. If the joint appointee holds an appointment in two or more Departments in different Faculties OR if the joint appointee holds an appointment in a Faculty (Faculties) without departmental structure and in one or more Departments, the composition of the Joint Faculty Committee on Promotion and Tenure is as follows:

(a) the Deans of the Faculties who shall jointly chair the Committee;

(b) at least two tenured members from each Faculty Committee on Promotion and Tenure, elected to serve on the Joint Committee by the members of their Faculty's Promotion and Tenure Committee. (*See Note below.*)

The membership of the Joint Faculty Committee shall be composed of an equal number of members from each academic unit.

Note: *In lieu of (b) above, if a joint appointment includes a clinical Department, the members of the Faculty of Medicine Committee on Promotion and Tenure shall elect at least two members from their Committee to the Joint Faculty Committee.*

15. A quorum of the Joint Faculty Committee shall consist of two-thirds of the members (and must include two members from each unit).

16. The Joint Faculty Committee shall be convened by the Dean of the home Faculty.

17. The Deans shall forward the recommendation of the Joint Faculty Committee together with their joint recommendation to the Provost. If the Deans cannot agree on the recommendation, a separate recommendation shall be forwarded from each Dean.

18. If the final recommendation of one or more of the Deans or the Committee is positive, the recommendation shall be considered by the appropriate Senate Committee.

19. If the final recommendations of all Deans and the Committee are negative, an appeal may be made to the Senate Committee on Appeals.

External Referees

20. Preparation of List: The preparation of a list of potential external referees is the responsibility of the Joint Department Committee (or the Joint Faculty Committee if the appointment is in two (or more) Faculties without departmental structure).

21. Solicitation: The solicitation of the referees will be done by the Dean of the home Faculty.

Grievance Procedures for Joint Appointments

(These grievance procedures are an elaboration of, and consistent with, the procedures contained in Section E - Grievance Procedure in Conditions of Appointment.)

Section E applies in all respects to a member of Faculty holding a joint appointment in two or more academic units, except that if the joint appointment is held across two or more Faculties, a grievance under E.1 relating to a joint decision of the academic units in which the appointment is held shall be submitted to a Joint Faculty Grievance Committee in the first instance.

Except where specific elaboration is provided here, the provisions relating to a grievance to a Faculty Grievance Committee in Section E of Conditions of Appointment apply to a grievance to a Joint Faculty Grievance Committee and the references to "Faculty Grievance Committee" in Section E shall mean "Joint Faculty Grievance Committee" when applicable.

Joint Faculty Grievance Committee

1. Grievances to a Joint Faculty Grievance Committee shall be submitted through the Dean of the home Faculty. The home Faculty will be responsible for providing administrative support for the Joint Faculty Grievance Committee.
2. If the joint appointment is across two Faculties, the Joint Faculty Grievance Committee shall be composed of three faculty members with tenure as provided in E.5. The members shall be selected by lot as provided in E.5(b), except that two members shall be selected from the panel elected by the Faculty Council of the home Faculty and one member shall be selected from the panel elected by the Faculty Council of the other Faculty.
3. If the joint appointment is across more than two Faculties, the Joint Faculty Grievance Committee shall be composed of one faculty member with tenure from each Faculty, selected by lot as provided in E.5(b) from the panel elected by the Faculty Council in each Faculty.
4. The panels referred to in #2 and #3 above are the same panels from which members of a Faculty Grievance Committee are selected.

Procedures for Handling Leaves, Reduced Responsibility and Alternate Workloads for Joint Appointees

Sabbatical Leave

(The following procedure is an elaboration of Section D - Sabbatical Leave in Conditions of Appointment to clarify that recommendations are required from all Chairs and Deans.)

A joint appointee shall apply for sabbatical leave to the head of the home academic unit (Department Chair in Faculties with departmental structure or Dean in Faculties without departmental structure). The recommendations of the heads of both (all) academic units shall be forwarded to each Dean. The Deans shall make a joint recommendation. If jointly approved, the Dean of the home Faculty shall forward the application as required under D.11(a) of Conditions of Appointment. If one Dean does not approve an application for sabbatical leave, the application shall not be forwarded to the Senate Sabbatical Leave Committee. However, the applicant may exercise any rights of appeal provided under D.21(e). Copies of all recommendations of the Senate Sabbatical Leave Committee and the Senate Sabbatical Leave Appeal

Committee shall be sent to all Department Chairs and all Deans (where applicable).

Other Leaves and Arrangements

1. Reduced Responsibility, Leaves, Alternative Work Loads - [Alternative Career Opportunities, Retention and Development of Faculty, \(ACORD\)](#) (Manual of Administrative Policies and Procedures, Policy 4.2)

Applications shall be made to the home academic unit/home Faculty of the joint appointee. All applications must be approved by the Chairs of all academic units in which the faculty member holds an appointment, and by the relevant Dean (or Deans, if the joint appointment is across two faculties).

a) Conditions relating to a reduced responsibility appointment (see ACORD, Section A, #12 and #13) shall be negotiated through the Chairs of all academic units with the Dean(s) and details of the reduced responsibility arrangements will be confirmed in writing and signed by all Chairs and Deans.

b) Details of the alternative workload arrangement (see ACORD, Section D, #7) will be confirmed in writing and signed by all Chairs and Deans.

3. Pregnancy Leave and Adoption Leave ([Manual of Administrative Policies and Procedures, Policies 4.7 and 4.8](#))

An application for pregnancy leave or adoption leave shall be made through all Chairs (or Deans) and each unit will prepare a Work Absence Form and submit it to the Department of Pensions and Benefits.

A joint appointee must provide the Chairs (and/or Dean(s) where applicable) of all academic units with the advanced notice required under these policies and must discuss future plans jointly with the Chairs (and/or Dean(s)).