



FOR INFORMATION

PUBLIC

OPEN SESSION

TO: Planning and Budget Committee

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DATE: March 12, 2015 for March 30, 2015

AGENDA ITEM: 4

ITEM IDENTIFICATION:

Revised Guidelines for Extra-Departmental Units (EDUs)

JURISDICTIONAL INFORMATION:

The Planning and Budget Committee is responsible for making recommendations to the Academic Board “on plans and proposals to establish, disestablish, or significantly restructure academic units, here defined as ‘faculties, schools, colleges, departments, centres and institutes with teaching, or teaching and research functions, undergraduate degree programs, and graduate degree programs’, regardless of the source of funds.” (*P&B, Terms of Reference, 4.4.1*)

GOVERNANCE PATH:

1. **Planning & Budget [For Information] (March 30, 2015)**
2. Academic Board [For Information] (April 23, 2015)

PREVIOUS ACTION TAKEN:

The *Guidelines for Administrative Functions and Protocols of Extra-Departmental Units* were developed as an administrative document and originally brought forward for information as Appendix 3 of the *Policy on Interdisciplinary Education and Research Planning*. The *Policy* was approved by Governing Council on February 1, 2007.

HIGHLIGHTS:

The University’s administrative *Guidelines for Extra-Departmental Units* were originally issued in February 2007. The 2007 *Guidelines* were the product of a review of interdisciplinarity at the University, launched in 2004 by then Vice-President and Provost, Shirley Neuman, in the context of the *Stepping Up* academic planning exercise. The *Guidelines* were designed to “allow for the

creation of extra-departmental units appropriate to the needs of the University” (Report Item 6(d), Governing Council meeting February 1, 2007).

The 2015 *Guidelines* are a revision of the 2007 document intended to bring it in line with current policy and practice and provide greater clarity to Faculties and Divisions, especially regarding administrative appointments to and the administration of extra-departmental units. The changes made are not intended to alter how the University understands academic units or interdisciplinarity.

The changes to the *Guidelines* build on the experience of the previous seven to eight years and are intended to address areas that are commonly seen to lack clarity. The 2015 *Guidelines*:

- further clarify the definition and distinguishing features of each type of EDU
- require the identification of a lead Faculty for every EDU, and describe the responsibilities of participating Faculties, according to their level of engagement
- emphasize the need for appropriate consultation and governance approval in the development of EDUs
- clarify that EDU:As and Bs can serve as the administrative home for research accounts, and that EDU:Cs may *not* normally do so
- emphasize that all EDUs are reviewed periodically; reviews of EDU:As and Bs fall under the UTQAP; decanal reviews of EDU:Cs and Ds assess the EDU relative to its stated goals, with closure as one possible outcome
- specify the range of possible appointments to each type of EDU
- address collaborations with external parties, both fully affiliated health care institutions and non-affiliated parties

Appendix A of the 2015 *Guidelines* presents an “EDU Proposal Checklist” intended to guide the development of specific proposals for new or changed EDUs.

This document is the product of extended consultation over the past two years with Faculties and Divisions, administrative offices (Planning & Budget, Financial Services, Research Services), and fully affiliated health care institutions.

FINANCIAL IMPLICATIONS:

Not applicable.

RECOMMENDATION:

For information.

DOCUMENTATION PROVIDED:

Guidelines for Administrative Functions and Protocols of Extra-Departmental Units (2007)
REVISED: Guidelines for Extra-Departmental Units (2015)



Guidelines for Administrative Functions and Protocols of Extra-Departmental Units (EDU)

The EDU taxonomy highlights a range of interdisciplinary units that differ in stage of development and divisional protocol:

- An EDU:A has a well-established and defined area of scholarship as a focus. The unit has attained a critical mass of interdisciplinary scholarship at the University that allows for the unit to engage in the appointment of teaching staff, admission of students to a program of graduate or undergraduate study, and engage in interdisciplinary research. EDU:As differ from departments in that departments generally offer a full range of undergraduate and graduate programs and research. It is expected that the total number of EDU:As at any given time will be small.
- An EDU:B has a defined area of scholarship as a focus and also admits students to interdisciplinary programs and engages in interdisciplinary research. However, teaching staff appointments are made in established departments with teaching staff cross-appointed to the EDU:B.
- An EDU:C unit does not have a program to which students are admitted.
- An EDU:D represents a group of scholars who have come together for the purpose of pursuing specific research objectives or offering a set of courses in an area of academic interest not offered under departmental, EDU:A and EDU:B course offerings. It may be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B.

The creation of EDU:A and B must be approved by Governing Council, while the creation of EDU:C must be delegated to Faculty Councils, and EDU:D to the relevant academic unit.

The table below outlines the administrative frameworks and procedural guidelines involved in the establishment and work of each type of unit. These are intended to set lines of authority and reporting, and to clarify issues concerning reviews and the work of coordinators or directors.

	EDU:A	EDU:B	EDU:C	EDU:D
1. Description	<p>Multidisciplinary, multi-departmental group with teaching staff and students working in a well-established and defined area of academic study and scholarship. It is a centrally established and independent unit designed to foster research and teaching in specialized areas.</p> <p>EDU:As offer programs where the number, quality, and research support of the faculty can foster an established program and where the resources available to teaching staff and students can guarantee a "critical mass" of scholarship and admissions.</p>	<p>Multidisciplinary, multi-departmental group with teaching staff and students working in a defined area of academic study and scholarship. It is a centrally established unit designed to foster research and teaching in new or highly specialized areas.</p> <p>EDU:Bs offer degree programs where the number, quality, and support of the teaching staff can foster a new or ongoing program and where the resources available to teaching staff and students can guarantee a "critical mass" of scholarship and admissions.</p>	<p>Normally a multidisciplinary multi-departmental research and/or academic unit with a defined research domain in a particular area of academic work. It exists to foster research and scholarly interest in the area.</p>	<p>A group of scholars who have come together for the purpose of pursuing specific research objectives or offering a set of courses in an area of academic interest not offered under departmental, EDU:A and EDU:B course offerings. It may be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B.</p>
2. Establishment	<p>A proposed interdisciplinary teaching and research unit is discussed with the Deans and the Vice-President and Provost. The proposal should be in accordance with the University's Policy for Assessment and Review of Academic Programs and Units. The EDU is approved by the departments and division(s) involved. Following, the proposal for the unit is brought forward by the Vice-</p>	<p>As per EDU:A</p>	<p>Proposal for a multi-departmental research unit and/or academic program is brought for approval before the council or governing body of the division(s) concerned. The proposal should be in accordance with the University's Policy for Assessment and Review of Academic Programs and Units. After approval, the proposal for the unit/program, including</p>	<p>Proposal for a research unit is brought for approval before the head(s) of the unit(s) concerned. The existence of the unit and the name of the Coordinator are reported to the Vice-President and Provost and the Vice-President Research and Associate Provost and the Office of Research Services.</p>

	EDU:A	EDU:B	EDU:C	EDU:D
	President and Provost before the appropriate Governing Council committees for approval.		recommendations on internal University and external grant funding and on staffing, will be reported to the Vice-President and Provost and the Vice-President Research and Associate Provost by the dean(s) of the division(s) involved, who have agreed upon resource commitments and budget.	
3. Appointment of an Administrator	<p>See: Policy on Appointment of Academic Administrators: Section II. The Office of Director of an Academic Centre or Institute.</p> <p>External reviews should be undertaken by the dean(s) of the appropriate division(s) at fixed intervals set aside for the appointment or re-appointment of a director. The review procedures should be defined by the division(s) at the unit's inception and approved by the Vice-President and Provost as being consistent with University-wide standards and reported to the Committee on Academic Policy and Programs under the University's policies and guidelines.</p> <p>Continuation of the unit is dependent on periodic review of</p>	As per EDU:A	<p>A director is appointed for a fixed term by the dean(s) by whom the unit was created.</p> <p>Reviews should be undertaken by the dean(s) of the appropriate division(s) at fixed intervals set aside for the appointment or re-appointment of a director. The review procedures should be defined by the division(s) at the unit's inception and approved by the Dean(s) as being consistent with University-wide standards.</p> <p>Termination of the appointment of a director rests with the dean(s) of the division(s) concerned as per divisional guidelines. The name of the director is filed with the Office of the Provost. Any change in status of the director must be</p>	<p>A Coordinator is appointed by the head(s) of the department(s) or division(s) concerned to serve a fixed term determined by the department(s) involved. Termination of the appointment of a Coordinator rests with the head(s) of the department(s) or division(s) concerned.</p> <p>A periodic review is conducted by the unit(s) concerned, at such times as the appointment or re-appointment of a coordinator, the review of the division(s), and the evaluation of the research project(s) and/or course offerings.</p>

	EDU:A	EDU:B	EDU:C	EDU:D
	the unit.		reported to the Office of the Provost.	
4. Reporting and Budgetary Authority	<p>The director, under guidance of an advisory panel of three or more members appointed by the dean(s) concerned, is responsible for policy and administrative and financial operations to the dean(s) of the division(s) with significant involvement in the unit.</p> <p>The director administers an operating budget from ongoing divisional budget(s) and external grant sources.</p>	As per EDU:A	<p>The director, with the guidance of an advisory panel appointed by the dean(s) concerned, is responsible for policies and administrative operations to the dean(s) of the division(s) with significant involvement in the unit, as specified in Section 2 above.</p> <p>The director is responsible for financial operations to the deans(s) involved. The director may administer an operating budget from divisional budget(s) and external grant sources.</p>	<p>The coordinator is responsible for administrative operations to the head(s) of the division(s) concerned and is responsible for the financial operations of the unit and administration funds, if so delegated by the division(s). Proposals for outside research funds and the name of the designated head for grant management should be reported to the appropriate divisional head(s). Ultimate financial authority goes through the appropriate head(s) to the dean(s) of the division(s) involved.</p>
5. Teaching Staff	<p>EDU:As have the ability to make teaching staff appointments, although teaching staff should normally be cross-appointed to a cognate department. The unit also has the ability to cross-appoint teaching staff as per an EDU:B.</p> <p>See Policy and Procedures on Academic Appointments</p> <p>Teaching staff have access to</p>	<p>No primary teaching staff appointing rights; Teaching staff may not hold their primary appointment in an EDU:B. Cross-appointment of teaching staff rests with the dean(s) of the division(s) involved, with the original department or college as the unit of primary appointment. Graduate membership may be extended</p>	As per EDU:B	<p>No rights of appointment or cross-appointment exist.</p>

	EDU:A	EDU:B	EDU:C	EDU:D
	the grievance procedures in the policies and memoranda of the University. Step No. 1 authority for teaching staff is the Director, Step No. 2 authority the appropriate dean(s).	as a cross-appointment. Teaching staff may pursue grievances through their department or division.		
6. Teaching Role	Students enrol in a distinctive course of study at the undergraduate and/or graduate levels. Programs are established and reviewed in a manner similar to those of a department. However, since the academic requirements will span departments or divisions, approvals must be sought in all units involved, and may be required ultimately from any external agencies concerned. Students have access to the academic administrative appeal procedures of the divisions(s) concerned.	As per EDU:A	EDU-Cs do not register students. They offer a set of courses in an academic area. Students follow a designated program as prescribed in the calendar(s) of the departments or division(s) involved. Students register for information with the program coordinator who is responsible for their guidance through the course of study.	As per EDU:C

University of Toronto

Guidelines for Extra-Departmental Units

The University's administrative *Guidelines for Extra-Departmental Units*, originally issued in February 2007, were the product of a review of Interdisciplinarity at the University that occurred at that time. The current *Guidelines* represent an updating of the original document to bring them in line with current policy and practice. This document is the product of extended consultation with Faculties/Divisions and administrative offices. The purpose of the *Guidelines* is to provide a framework for the establishment and operation of Extra-Departmental Units [EDU's] at the University of Toronto.

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Summary

1 EDU: A

- Multidisciplinary, multi-divisional or multi-departmental unit designed to foster research and teaching in a well-established and well-defined area of academic study and scholarship
- May hold primary academic appointments (e.g. majority budgetary appointments of 51% or more)
- Offers degree programs where the number and research strength of faculty is appropriate
- May administer research funds
- The Director is appointed under the University's *Policy on Appointment of Academic Administrators*

2 EDU: B

- Multidisciplinary, multi-divisional or multi-departmental unit designed to foster research and teaching in a new or highly specialized area of academic study and scholarship
- May not hold primary academic appointments (e.g. can only make minority budgetary appointments of 49% or less)
- Offers degree programs where the number and research strength of faculty is appropriate
- May administer research funds
- The Director is appointed under the University's *Policy on Appointment of Academic Administrators*

3 EDU: C

- Normally, a multidisciplinary, multi-departmental unit designed to foster research and scholarly interest in a defined research domain
- May not make or hold any budgetary appointments.
- May offer courses and graduate collaborative programs where the resources are available and where there is sufficient demand/interest.
- Does not administer research funds unless explicitly designated by the lead Dean in consultation with the Provost.
- The Director's appointment does not fall under the University's *Policy on Appointment of Academic Administrators* and consequently the Director does not have signing authority

4 EDU: D

- A group of scholars who have come together for the purpose of pursuing specific research objectives or offering courses in an area of academic interest.
- May be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B
- Does not administer research funds
- The Coordinator is **not** appointed under the University's *Policy on Appointment of Academic Administrators* and consequently the Director does not have signing authority

Proposal for a new EDU¹

The establishment of a new EDU requires the development of a comprehensive proposal which takes into account all relevant University policies and guidelines. The most important element of the proposal is the Academic Rationale for the EDU. Why is the EDU being proposed? What are the expectations of the EDU? What might be possible metrics or measures of success?

Common Elements

- Every new EDU should have a clearly designated lead Faculty/Division
 - The Dean of the lead Faculty/Division assumes full responsibility for the EDU including administration and budget
 - Other Faculties/Divisions may be full, *active partners* in the EDU² in which case it should be approved by their Council or may simply be *associated with it* through involvement of their faculty
- The Dean of the lead Faculty/Division is responsible for consulting with all Deans whose faculty may be involved or associated with the EDU
- Where more than one Faculty/Division is *actively engaged* in an EDU, the Deans should lay out their understanding of the nature of that involvement and respective obligations in a brief Memorandum of Agreement. The latter should be submitted to the Provost's Office for future reference
- The proposal need not include the full MOA but should explicitly outline the extent of the resource commitment being made in support of the proposed EDU by each Faculty/Division
- Every proposal should include a draft budget in line with the *Checklist*
- Every proposal should be structured in such a way that it is in line with and supports the University's fundamental goals and values
- The lead Dean should consult with the Provost's Office on a draft proposal prior to consideration by governance

1 EDU: A's and B's

- All EDU A's and B's fall under *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010
- Directors of EDU A's and B's are appointed under the *Policy for the Appointment of Academic Administrators* [PAAA]

2 EDU: C's and D's

- EDU C's and D's do not fall under *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010, but the lead Dean is expected to commission periodic reviews

¹ The *EDU Proposal Checklist* following provides an outline and additional information.

² Active engagement is normally reflected in a financial or administrative commitment.

Approval of new EDU's

In every instance, where more than one Faculty/Division is an *active partner* in the establishment and operation of an EDU, the proposal must be approved through governance by each Faculty/Division.

1 EDU: A's and B's

- Requires Divisional and Governing Council approval
 - Faculty Council, Planning and Budget Committee, Academic Board, and Governing Council
 - Campus Affairs Committee, Campus Council, Academic Board, and Governing Council in the case of University of Toronto Mississauga [UTM] and the University of Toronto Scarborough [UTSC]
- Proposals for new EDU: A and B's are taken forward to University governance by the Office of the Vice-President and Provost and included in the list of EDU's maintained by the Vice-Provost, Academic Programs and posted on their website

2 EDU: C

- Requires Divisional governance approval only
 - Faculty Council
 - Campus Affairs Committee, Campus Council in the case of UTM and UTSC
- The approval of a new EDU: C at the divisional level should be reported to the Office of the Vice-President and Provost for inclusion in the list of EDU's

3 EDU: D

- Require Departmental or Divisional governance approval (as determined by the Dean's Office and the terms of reference of the relevant Faculty Council)
- The approval of a new EDU: D should be reported to the Office of the Vice-President and Provost for inclusion in the list of EDU's

Academic Leadership

1 EDU: A's and B's

- Every EDU: A or B must have a Director, who should be appointed by the lead Dean following the PAAA (Section II. The Office of Director of an Academic Centre or Institute)
- The Director of an EDU: A or B will report to the lead Dean

2 EDU: C

- A Director is appointed by the lead Dean or designate for a fixed term of not more than five years, renewable once by the lead Dean(s)
- Termination of the appointment of a Director rests with the lead Dean or the lead Dean's designate
- The name of the Director should be reported to the Office of the Provost

3 EDU: D

- A Director / Coordinator is appointed by the lead Dean or the Dean's designate to serve a fixed term of not more than five years, renewable once
- Termination of the appointment of a Director / Coordinator rests with the lead Dean or lead Dean's designate

Responsibilities of the Director/Coordinator

1 EDU: A's and B's

- The Director is appointed under the PAAA, and is the chief executive officer of the EDU, reporting directly to the Dean
- The Director has responsibility for the overall direction of the Centre or Institute and in particular authority over the budget and recommendations for appointments and, where applicable, tenure and promotions.
- The Director has responsibility and accountability for all operating and restricted funds delegated to the EDU
- The Dean of the lead Faculty/Division must assume ultimate responsibility for administration and budget
- The Director is responsible and accountable to the lead Dean for the financial management of the EDU and all of its resources. Those responsibilities include establishment and management of budgets, revenue and expenditure decisions, safeguarding of all assets, financial reporting and monitoring, adherence to all financial management policies and procedures as described in the *Guide to Financial Management*, and oversight of any individuals within the EDU who are responsible for financial management activities
- Each year, the Director is required to complete an annual accountability report to the lead Dean attesting to proper completion of those financial management responsibilities
- EDU: A's and B's can serve as the administrative home for research accounts, with the provision that sign-off is obtained from the academic unit head in which the Principal Investigator holds his or her primary budgetary appointment. The automated research application system, "My Research – Applications" (MRA) routes all applications to the PI's unit of primary appointment based on HRIS records, but it is important for researchers to be aware of this requirement.

2 EDU: C³

- The Director may administer an operating budget from divisional budget(s)
- The Director is responsible for administrative and financial operations and accountable to the lead Dean.
- The lead Dean is responsible for overseeing the disbursement of advancement funds
- EDU: C's may not serve as the administrative home for a research account without the lead Dean seeking the agreement of the Provost. The Office of Research must be notified. Where an EDU:C is permitted to administer research grants, the financial accountability requirements identified for EDU: A's and B's will apply including signing financial accountability reports.

³ Possible proposal language could be: "The proposed is an EDU:C and as such, the Director is not appointed under *the Policy on Academic Administrative Appointments*. As a consequence, an EDU:C may not administer research funds or enter directly and on its own authority into commitments / agreements / contracts. All monies and research funding will flow through the Dean's Office in line with the Faculty's normal practice. Any research contracts or agreements similarly require approval and the signature of the Dean."

3 EDU: D

- The Director / Coordinator is responsible for administrative operations to the lead Dean or lead Dean's designate
- The Director / Coordinator is responsible for the unit's financial operations and administrative funds, if so delegated by the lead Dean or lead Dean's designate. In this case the financial accountability requirements identified for EDU: A's and B's will apply including signing financial accountability reports.
- EDU: D's do not administer research funds

Governance/Administrative Structure

The proposed administrative structure of an EDU should be as simple and streamlined as possible. The Director is often supported by a small Executive Committee comprised of faculty. Where there are multiple Deans actively involved in establishing the EDU, the structure may include an executive or senior management committee of the deans or their designates. The Director in these cases is often appointed by, and reports to, the executive or senior management committee. This being said, there must always be a single lead Faculty and the Director should ultimately be accountable to that Dean. In certain instances such a committee could include the CEO of an external partner such as a Hospital CEO or the CEO's representative.

EDU's frequently also have an Advisory Board or Council. An advisory committee may include external members, but must remain advisory only, providing non-binding advice. Any Advisory Board should explicitly conform to the *Provost's Statement on the Role of Advisory Bodies*, issued as PDAD&C #044, 1997/98 on March 20, 1998 and revised April 30, 1998.

The membership, roles and responsibilities of these groups should be laid out in the proposal for the EDU.⁴

⁴ Possible language for a proposal might be: "In accordance with the *Provost's Statement on the Role of Advisory Bodies* (April 30, 1998), the Dean, with input from, will appoint an Advisory Board to provide non-binding advice ..."

Collaborations

EDU's may involve external parties.

1 EDUs in collaboration with Fully Affiliated Health Care Institutions

Many EDU's are established in collaboration with the University's Fully Affiliated Health Care Institutions and are an expression of the strong relationship that exists between the University of Toronto and its health care partners. These EDU's may be physically located in hospital space; engage colleagues employed by the University's Toronto Academic Health Science Network (TAHSN) partners and be bound by their rules; depend on hospital infrastructure including finance and HR services; and are often sustained by significant financial contributions from collaborating institutions.

The Affiliation Agreements between the parties provides the framework within which the University can be comfortable that its academic interests are safeguarded. In bringing forward a new EDU in collaboration with one or more affiliated health care institution, the lead Dean is responsible for working closely with the Vice-Provost, Relations with Health Care Institutions to ensure that the proposed EDU is in line with those Agreements. As part of this process, the parties should develop a Memorandum of Agreement [MOA] outlining the nature of the engagement of each partner and their respective obligations. This would normally include financial commitments and philanthropic contributions.

The draft proposal and MOA once agreed to by the Vice-Provost, Relations with Health Care Institutions should be submitted to the Office of the Vice-Provost, Academic Programs for review and feedback. The final proposal taken to governance need not include the full MOA but should explicitly outline the extent of the resource commitment being made in support of the proposed EDU by each Faculty/Division. The final MOA should be submitted to the Provost's Office for reference.

In many instances, numerous facets of the operation of the EDU are managed jointly including:

- the appointment of the Director of the EDU. (For EDU A's and B's this process must conform to the University's *Policy on Academic Administrative Appointments*.)
- administrative oversight / governance
- financial organization and accountabilities
- appointment of staff
- the review of the EDU on the end of the Director's term

The EDU is a unit of the University of Toronto and decision-making authority is ultimately maintained by the University. Other relevant expectations and processes should be set out clearly and specifically in the MOA.

2 Other Institutions or Groups

The lead Dean must seek the approval of the Provost's Office *before* establishing an EDU in concert with other external institutions or groups. It is critical to ensure that the extent of engagement and the role of an external party in any EDU is carefully managed so that control and oversight of the EDU is clearly maintained within the University and that its operations will be conducted in accordance with University policy.

Faculty Appointments⁵

1 EDU: A

- Only EDU: A's can hold primary or majority budgetary faculty appointments, e.g. 51% or more
- Where individual faculty members are proposed as members of an EDU the lead Dean must consult with the Dean(s) of the Faculty/Division(s) involved and the original unit of primary appointment
- Where a faculty member has their primary appointment in an EDU: A, the Director is responsible for all aspects of the appointment including for example tenure, promotion, assignment of workload and the annual merit process
- Only EDU: A's may hold Status-only and Adjunct Appointments⁶
- See *Policy and Procedures on Academic Appointments*

2 EDU: B

- EDU: B's do not have primary faculty appointing rights
- EDU: B's may hold minority budgetary tenure and teaching stream cross-appointments. The cross-appointment of faculty rests with the Dean(s) of the Faculty/Division(s) involved in consultation with the original unit of primary appointment
- New EDU: B's should not hold primary Teaching Stream Appointments although in practice some hold 100% teaching stream appointments where this is necessitated by program considerations
- Where a faculty member has their primary appointment in an EDU: B, the Director is responsible for all aspects of the appointment including for example promotion, assignment of workload and the annual merit process

3 EDU: C

- Going forward EDU: C's may only hold non-budgetary cross-appointments of tenure and teaching stream faculty
- EDU: C's may "buy-out" or transfer funds to support faculty who hold appointments elsewhere

4 EDU: D

- No rights of appointment or cross-appointment of tenure and teaching stream faculty exist

⁵ This refers to practice going forward.

⁶ The *Provostial Guidelines for the Appointment of Status Only, Adjunct and Visiting Professors* (<http://www.aapm.utoronto.ca/status-only-adjunct-and-visiting-professors>).

Other Non-Budgetary Appointments

Other, non-budgetary appointments to any kind of EDU may include:

- Clinical faculty appointed under the *Policy for Clinical Faculty*, December 16, 2004 (effective July 1, 2005):
 - The primary appointment for every clinical faculty member must be in a Clinical Department
 - Clinical appointments are never budgetary
 - Clinical faculty can hold minority non budgetary cross appointment in an EDU. Sign-off from the Chair of the Clinical Department holding a clinical faculty member's primary appointment is required

Teaching

1 EDU: A's and B's

- May offer undergraduate and or graduate degree programs
- Degree programs fall under the UTQAP
- Since the academic requirements of programs may span Departments or Divisions, approvals must be sought in all units involved
- Students have access to the academic appeal procedures of the lead Faculty/Division.

2 EDU: C

- May offer graduate Collaborative programs, which fall under the UTQAP
- May offer courses in an academic area. Such courses are approved through the normal process established by the lead Faculty

3 EDU: D

- May offer for credit courses in an academic area. Such courses are approved through the normal process established by the lead Faculty

Review

1 EDU: A's and B's

- All EDU:A's and B's are subject to *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010
- Under the *University of Toronto Quality Assurance Process* [UTQAP], the lead Dean, in consultation with any other active, participating Deans, will commission a review of the EDU and its programs. The interval between program reviews must not exceed eight years

2 EDU: C

- Reviews should be conducted by the lead Dean at fixed intervals (commonly every 5 – 7 years which may coincide with the appointment or re-appointment of a Director and, where appropriate, involving external reviewers)
- The review procedures and expectations of the unit should be defined in the original proposal establishing the unit and should be approved by the lead Dean in consultation with any active, participating Deans as being consistent with University-wide standards
- Expectations should include sustainability, performance and achievements relative to the goals set out at its establishment⁷
- It should be clear that one outcome of a review could be a decision to close the EDU

3 EDU: D

- A periodic review should be conducted by the lead unit/Faculty at such times as the appointment or re-appointment of a Director/Coordinator, the review of the division(s), or the evaluation of the research project(s) and/or course offerings
- As in the case of an EDU: C, the review procedures and expectations should be defined in the original proposal establishing the unit
- Expectations should include sustainability, performance and achievements relative to the goals set out at its establishment. It should be clear that one outcome of a review could be a decision to close the EDU

⁷ Possible language for a proposal could be: "In line with normal practice, an EDU: C is subject to periodic review (normally every 5 years) by the lead Dean. Any review would normally assess the EDU's sustainability, performance and achievements relative to the goals set out at its establishment. Possible outcomes of the review could include closure. "

Appendix A: EDU Proposal Checklist

This is intended as a guide for anyone bringing forward a new Extra Departmental Unit [EDU] for approval or proposing a change to an existing EDU. (Please work closely with your Dean's Office in developing any proposal. Your Dean's Office will coordinate with the Office of the Provost.)

Statement of Purpose

- What is being created / changed?
 - Provide full proper name of EDU being proposed/changed⁸
 - Proposed status / proposed change (in name, status)
 - Have you clearly identified a single lead Faculty/Division that will assume active administrative and budgetary responsibility for the EDU?
 - Have you identified other participating Faculties/Divisions (you may wish to distinguish between *active participating* Faculties/Divisions and Faculties/Divisions/units that may be *associated with* the EDU by virtue of the involvement of individual faculty)
 - Effective date / effective date of change

Academic Rationale

- Have you clearly described the intended scope of activity of the proposed EDU or provided an academic argument for the change being proposed, in terms that align with the EDU Guidelines? Try to focus on this and not logistical considerations/administrative considerations. How does this fit with strategic goals of the lead and participating Faculties/Divisions?
- Have you given a clear and specific description of the academic focus of the EDU?
 - Program delivery: remember that only EDU: A's and B's offer degree programs; EDU: C's may offer courses and may be the locus of a collaborative program
 - Research focus: defined research domain in a particular area of academic inquiry
 - Other activity / programming

Consultation

- Have you consulted deeply and broadly prior to governance including with:
 - The Chairs of all Departments and Deans of all Faculties/Divisions whose faculty will be associated in anyway with the EDU
 - With the Provost's Office
- Have you incorporated suggested changes into the proposal and clearly articulated the nature and outcome of that consultation?

⁸ The names of EDU's commonly conform to disciplinary norms and include Centre, Institute, School etc.

Faculty Participation

- Have you included a full list of faculty who will be actively engaged in the proposed EDU as an appendix (include total heads and fte's under appropriate categories in the body of the proposal)?
- Do all those who will be associated with the proposed EDU fall into appropriate appointment categories:
 - Primary appointments
 - Budgetary cross-appointments
 - Non-Budgetary Cross-Appointments
 - Status-only Appointments)
 - Adjunct Appointments
 - Clinical Faculty (See *Policy on Clinical Appointments*)
- Have you understood the distinction between appointment status and Graduate Faculty membership?
 - Graduate Faculty membership is a separate layer of responsibility with specific criteria.⁹
 - A prerequisite of any graduate appointment is a primary academic appointment at the U of T
 - Usually a faculty member's primary graduate faculty membership is held with the primary budgetary appointment
 - Once a faculty member is a member of the School of Graduate Studies, he/she can hold a secondary graduate membership in another department, EDU: A or EDU: B. This does not necessarily mean that the faculty member holds a budgetary cross-appointment in the Department or EDU.
- Has the Dean and (if relevant) the Chair who holds each prospective EDU members' primary appointment agreed to the specifics of what is proposed, conditional on approval of the proposal?
 - Does the proposal comply with relevant workload policies?
 - Is the anticipated impact on current roles and responsibilities sustainable?
 - Have drafts of revised appointment letters been prepared for all involved faculty, reflecting commitments made?
- Have you tried to keep the relationship of members to the EDU as simple as possible and consistent with the appointment categories listed above and with University policy? Categories such as core, associate or affiliate membership in an EDU are not bona fide terms.¹⁰

Structure/ Administration

- Follow the *Guidelines* above
- Ensure that it is clear that the Director is responsible for all facets of the proposed EDU including policies, T&P, budget, and administrative operations to the lead Dean

⁹ <http://www.sgs.utoronto.ca/adminsupport/gradfac.htm>

¹⁰ At the very most one might distinguish between active, participating and collaborating.

Budget

- Ensure that any provisions are in line with the *Guidelines*

Research Funds

Ensure that it is clear that the only instance in which an EDU may administer research funds is where the appointment of the Director has been made in accordance with the Policy on Appointment of Academic Administrators (i.e. EDU:A's and EDU:B's). In the case of EDU: B's, because they only hold minority appointments, the faculty member will have to designate the funds to go to the EDU:B and their chair/dean would need to sign off on this.

If an EDU: C is to have this authority this must be approved by the Dean (in consultation with the provost) and the office of Research informed.

Review

Have you set out clearly the expectations relative to the periodic review of the EDU in line with the *Guidelines*?