

Department of Mathematics and Statistics *Guidelines for Tenure, Promotion, and Performance Review*

4/15/2016

1. Preliminaries

1.1. Distribution of Effort (DOE)

Each faculty member has a DOE that assigns a percentage weighting to each of three areas of responsibilities: scholarship, teaching, and service. The DOE may change over time, as described in Article 18 of the Collective Agreement. The DOE is the basis for the assignment of duties. The link between the DOE and expected level of contributions in any area of effort should be part of each Department/School's regular dialog, with the Dean bearing the final responsibility for workload matters, as per Article 18. The DOE also gives the context for the overall performance and career progress of a faculty member.

Historical note: the concept of a DOE was central to the first Collective Agreement. It rendered obsolete the notion of an "alternate career path" that existed in the past. Each faculty's career path is now its own adjustable alternative. During the life of the first Collective Agreement, the DOE of each faculty member, including those appointed during this period, was set to a negotiated value or to a default value of (Scholarship, Teaching, Service)=(40,40,20). The introduction of the DOE also eliminated the notion of a "primary" or "major" area of responsibility that existed in the past.

1.2. Process, Reports, and Templates

The details of the processes followed for tenure and promotion (T&P) considerations and for performance review are given in Article 21 of the Collective Agreement. The processes handle a small number of different circumstances, as follows.

I. Tenure and Promotion		When?	Report?
(a)	Report on progress towards Tenure and Promotion to Associate Professor	All probationary faculty members every year.	Feedback only.
(b)	Consideration for Tenure and Promotion to Associate Professor	At the request of a probationary faculty member in year three or later, with automatic consideration in the final probationary year.	Recommendation via vote.
(c)	Consideration for Promotion to Professor	At the request of a faculty member at the Associate Professor rank.	Recommendation via vote.
(d)	Consideration for Promotion to Associate Professor.	At the request of a multi-year contractually-limited faculty member.	Recommendation via vote.
<i>All considerations for tenure and promotion are based on life-time contributions. Note that case (c) applies to multi-year contractually-limited Associate Professors. Multi-year contractually-limited Assistant Professors receive informal feedback from their Dean on their progress towards Promotion to Associate Professor. Probationary Associate Professors or Professors receive a progress report towards Tenure in (a).</i>			
II. Performance Review		Who & when?	Report?
(a)	Biennial year	All faculty members. Determines the three individual descriptors and one overall descriptor rating the performance of the faculty member during the previous two years.	Recommendation via vote.
(b)	Non-biennial year	All probationary faculty members, plus all faculty members who received a less than "good" overall descriptor in the previous biennial year.	Feedback only.
		All contractually-limited faculty members.	Recommendation via vote.
<i>All considerations for the biennial performance review are based on the past two years, within the context of the past six-year window. The intention of the non-biennial year review is to provide feedback only toward attaining an overall "good" or better in the next biennial review as well as descriptors for contractually-limited faculty members.</i>			

Sections 2-5 of this document discuss the criteria for each decision in the above table. The feedback-only reports give individual feedback for each upcoming related decision.

Historical note: prior to the first Collective Agreement, the T&P Committees voted on whether to *continue* each probationary appointment. The discussion of this question is now left to the Dean and the Provost.

Member Templates for Tenure, Promotion, and Performance Assessment

Article 21.18 of the Collective Agreement describes the reports that faculty members and the Department/School T&P Committee provide. The Dean, in consultation with the Provost and the College T&P Committee, develops the templates for these reports. Related to items I and II above, the two templates prepared by faculty members are listed in the following table.

Faculty Member Template	Documenting?
I. Progress Template	Life-time contributions for consideration of progress towards or granting of <ul style="list-style-type: none">• Tenure and Promotion to Associate Professor,• Tenure (for faculty members already at Associate Professor or Professor rank),• Promotion to Associate Professor (for multi-year contractually-limited faculty members), or• Promotion to Professor.
II. Performance Assessment Template	Contributions of the past <ul style="list-style-type: none">• two years in a biennial year• one year in a non-biennial year within a six-year context, for performance review purposes.

The timelines of Article 21 require that the completed templates be submitted to the Chair/Director by August 15, with additions allowed until August 31. There is one exception noted in the following paragraph.

As per Articles 21.40 and 21.41, if a decision on the granting of Tenure and Promotion to Associate Professor, Promotion to Associate Professor, or Promotion to Professor is to be made in that year, the faculty member must

- submit the completed Progress Template by June 8, and
- submit a formal application by May 15 to the Dean through the Chair/Director, which includes the names and contact information of external referees.

Official File and Assessment File

The University maintains an Official File for each faculty member, which may be viewed by the faculty member, as described in Article 14. The faculty member's Assessment File is a subset of the Official File that houses materials during the assessment process, as follows:

- All materials used in an assessment, excluding the teaching dossier and a reprint file, are placed in the faculty member's Assessment File;

- Once they have been produced, the reports detailing the *recommendation* of the Departmental/School T&P Committee and the *decision* of the College T&P Committee are placed in the Assessment File, as well.
- At the end of the year's process, after the appeal window has closed, the materials in the Assessment File are shifted into the main Official File in preparation for the next cycle.
- As detailed in Article 21, the Departmental/School reports are destroyed once they no longer serve a purpose for appeals. For example, the Departmental/School Progress reports are kept for a probationary member until the member is tenured or the appointment is terminated.

The situation is illustrated in the following schematic.



2. Contributions towards Scholarship, Teaching, and Service

Articles 18.5, 18.6, and 18.9 of the Collective Agreement give descriptions of the responsibilities of faculty members in each of the three areas of effort.

In the following sections, the common contributions of faculty members are categorized by area of effort.

There are several contributions that can reasonably be placed into more than one area of effort. In Sections 2.1-2.3, such contributions are daggered and listed in their default area of effort. Each faculty member may choose to declare in his/her Member Templates that such a contribution is to be counted towards an allowable area other than the default. Each such contribution can only be counted towards *one* area of effort. For clarity, Section 2.4 presents the list of these ambiguous activities.

2.1. Scholarship, Discipline-based and/or Education-based

The following tables present the activities that are considered by the T&P Committees as contributions towards scholarship.

A. Conferences, Workshops, Symposia†		B. Publications†	
Organizing Conferences, Workshop, Symposia	<ul style="list-style-type: none">• event• session• chairing session	Refereed	<ul style="list-style-type: none">• journal paper• conference paper<ul style="list-style-type: none">◦ invited◦ contributed• book / textbook• book chapter• monograph• position paper• reference data• research report
Presenting	<ul style="list-style-type: none">• plenary/keynote• invited<ul style="list-style-type: none">◦ event◦ external seminar• contributed• poster		
Participating		Unrefereed	as for Refereed
		Submitted	as for Refereed
		Software	<ul style="list-style-type: none">• refereed• published• self-published
		Venue Quality	
		Length	
		Reprint Dossier	

2.1. Scholarship, Discipline-based and/or Education-based (continued)

C. Other Impact

Funding [†]	<ul style="list-style-type: none"> • grants awarded • grants applied for • contracts awarded • contracts applied for
Associates	<ul style="list-style-type: none"> • postdoctoral fellow • hosting visiting professor
Patents	

D. Other Professional Activity

Consulting	
Visiting Professor	
Refereeing	<ul style="list-style-type: none"> • publication • grant selection committee/council • grant application
External Assessment	<ul style="list-style-type: none"> • textbook review • tenure/promotion application • M.Sc./Ph.D. thesis • program review
Software Distributed & Supported	
Standard Writing Committees	

E. Other Recognition

Scholarship Awards
Editor / Editorial Boards
Citation Record / Impact
Paper Award
News Articles/Stories About Scholarship

F. Anything Else That the Faculty Member Considers Evidence of Scholarship

--

2.2. Teaching

The following tables present the activities that are considered by the T&P Committees as contributions towards teaching.

A. Scheduled Teaching

Assignment	<ul style="list-style-type: none"> • courses • enrolments • contact hours • TA support • coordinating multi-section • lab supervision
Assessment	<ul style="list-style-type: none"> • course evaluations • signed student comments • signed letters from students, parents or teachers, or colleagues submitted by <ul style="list-style-type: none"> ◦ faculty member ◦ others, with faculty member's response
Sample Materials	<ul style="list-style-type: none"> • course outline • problem sets • tests • teaching dossier <ul style="list-style-type: none"> ◦ teaching philosophy ◦ efforts to improve

B. Other Teaching Contributions

Mentoring a Colleague/Sessional	
Grading Projects	<ul style="list-style-type: none"> • co-op • undergraduate research
Student Advising & Supervising [†] (Note: student counseling appears under Service)	<ul style="list-style-type: none"> • graduate student • undergraduate research assistant • undergraduate research project
Student Committees [†]	<ul style="list-style-type: none"> • advisory committee • examination committee

C. Development[†]

Course	<ul style="list-style-type: none"> • materials • computer-aided • distance education
Lab	

D. Other Recognition

Teaching Award
News Articles/Stories About Teaching

E. Anything Else That the Faculty Member Considers Evidence of Teaching

2.3. Service

The following tables present the activities that are considered by the T&P Committees as contributions towards service.

<u>A. To the Department/School</u>		<u>B. To the College</u>	
Administrative	<ul style="list-style-type: none"> • Chair/Director • Associate/Assistant Chair/Director • Graduate Coordinator • Undergraduate Coordinator • Other appointments 	<u>Committees</u>	
Department /School Services	<ul style="list-style-type: none"> • mass spec, NMR, EPR, and X-Ray in Chemistry • learning centre coordinator 	<u>C. To the University</u>	
Committees	<ul style="list-style-type: none"> • chair <ul style="list-style-type: none"> ◦ accomplishments • member <ul style="list-style-type: none"> ◦ accomplishments 	<u>Committees</u>	
Student-based	<ul style="list-style-type: none"> • student counseling • clubs • coaching contest teams and student competitions • field trips 	<u>Senate</u>	
		<u>Faculty Association</u>	
		<u>D. To Society</u>	
		<u>Obtaining Licensure and Accreditation</u>	
		<u>E. Liaison & Outreach</u>	
		Talks	<ul style="list-style-type: none"> • school visit • to visiting students
		Materials	<ul style="list-style-type: none"> • newsletter • website • poster
		Participation	<ul style="list-style-type: none"> • College Royal • open houses • science fairs
<u>F. External</u>		<u>H. Anything Else That the Faculty Member Considers Evidence of Service</u>	
<u>G. Other Recognition</u>			
Service Award			
Signed Letters	<ul style="list-style-type: none"> • submitted by <ul style="list-style-type: none"> ◦ faculty member ◦ others, with faculty member's response 		

2.4. Contributions for which the Area of Effort May Be Declared

The following table presents a summary of the contributions that reasonably fall under more than one area of effort. The table lists the contribution, the default area of effort under which the contribution will be considered, and the other area(s) of effort under which the faculty member may declare that the contribution should be considered. Any such declaration must be made in the Member Templates submitted by the faculty member.

Contribution	Default Area of Effort	Alternative Area of Effort
Student Advising & Supervising	Teaching	Scholarship
Student Committees	Teaching	Scholarship Service, if not (co-)advisor
Course Development (that the faculty member considers to be substantial)	Teaching	Scholarship
Education-based Publications	Scholarship	Teaching
Education-based Conferences, Workshops, Symposia	Scholarship	Teaching
Education-based Funding	Scholarship	Teaching

The full list of contributions and their connections to the three areas of effort are depicted in Appendix A.

3. Biennial Performance Review

The biennial performance review takes place in even-numbered years for probationary and tenured faculty members. The two T&P Committees assess the contributions of each faculty member over the past two years in each of the three areas of effort: scholarship, teaching, and service. The two-year review is framed in terms of the past six years in order to recognize effort on the part of a faculty member in responding to constructive feedback on a recent feedback-only review.

The outcome of the performance review is

- feedback to the faculty member,
- the assignment of a descriptor rating the performance in each area of effort, and
- the assignment of an overall descriptor rating the overall performance of the faculty member in the past two years.

Descriptors come from the ordered list

(unsatisfactory, improvement required/developmental, good, very good, outstanding).

Operational details of the performance review process are described in Articles 21.63-21.75, and the relationship of the overall descriptor to the Performance Increase component of a faculty member's salary increase is detailed in Articles 53.11-53.15.

3.1. Individual Descriptors for Each Area of Effort

For each faculty member, the descriptor recommendation of the Department T&P Committee for each area of effort is reached by considering

- the effort allocation for that area (which may change over the two-year period),
- all of the contributions reported in the Performance Assessment Template, and
- all materials appropriately contained in the Assessment File.

Historical note: While past agreements allowed for committee members to share “direct knowledge” (hearsay has never been allowed), this looseness disappeared in the 2014-2017 Collective Agreement. Article 21.36 on Committee Mode of Operations says that “performance will be evaluated solely on the basis of material contained in the Assessment File and therefore accessible to the Faculty Member prior to the meeting of the Department Committee.”

Scholarship, Discipline-based and/or Education-based

The assessment of scholarship contributions takes into account

- the normal practices for the particular area of scholarship

For example, for some areas refereed journals are the preferred venue for publications, while in other areas refereed conference proceedings may be preferred.

- the experience level of the faculty member

While all scholarship contributions of Sections 2.1 and 2.4 are considered in the assessment, emphasis is placed on producing/disseminating advances in knowledge and the quality and impact of those advances.

Teaching

While all teaching contributions of Sections 2.2 and 2.4 are considered in the assessment, emphasis is placed on performance in assigned teaching duties, the spreading of knowledge to students (at any level), and the quality and impact of the faculty member as a teacher.

Service

While all service contributions of Sections 2.3 and 2.4 are considered in the assessment, emphasis is placed on assigned or elected service to the University (at all levels and in all ways) and the quality and impact of that service.

3.2. Overall Descriptor

The Department T&P Committee reaches a recommendation on the overall performance descriptor for a faculty member by constructing a weighted average of the three individual descriptors with respect to the faculty member's DOE.

Historical note: The 2014-2017 Collective Agreement for the first time stated clearly that the overall performance rating is “determined on the basis of the three individual performance ratings weighted according to the Member's DOE during the review period.”

Examples

In the following examples, bracketed triplets for individual descriptors and DOE are always in the order (Scholarship, Teaching, Service).

1. Individual descriptors=(G,VG,VG), DOE=(40,40,20) \Rightarrow Overall = VG
2. Individual descriptors=(G,VG,VG), DOE=(80,10,10) \Rightarrow Overall = G
3. Individual descriptors=(IR,VG,VG), DOE=(50,25,25) \Rightarrow Overall = G

When a faculty member has received “Improvement Required/Developmental” as an individual descriptor, the T&P committees attentively recognize improvement in the next performance review. Judgment may yet be required in determining the overall descriptor, as in the third example.

4. Tenure and Promotion to Associate Professor

The criteria for the granting of Tenure and Promotion to Associate Professor are applicable to three separate types of faculty members:

Who?	Can be considered for?
Probationary Assistant Professor	Tenure, coupled with Promotion to Associate Professor
Probationary Associate Professor	Tenure
Multi-year Contractually-Limited Assistant Professor	Promotion to Associate Professor

In the remainder of this section, references to “Tenure and Promotion to Associate Professor” include all three of the above situations. Article 21.6 reads

“The conferring of Tenure and Promotion to Associate Professor is a very important step in the relationship between the University and a Faculty Member, and it should be decided upon only after careful consideration and attention to due process. The granting of Tenure and Promotion to Associate Professor recognizes academic competence and maturity, and significant scholarly achievement demonstrated by contributions to the academic functions of the University and to the Member’s discipline within and outside the University. The conferring of Tenure and Promotion to Associate Professor obliges the University to support the career of the Member and it obliges the Member to continue to perform in a manner deserving of that support.”

The Department T&P Committee reaches its decision on the granting of Tenure and Promotion to Associate Professor by considering

- the faculty member’s University of Guelph DOE in any applicable years,
- all of the life-time contributions reported in the Progress Template,
- letters from (normally) three external assessors as per Article 21.22,
- past College T&P Committee Progress Reports,
- past College T&P Committee Performance Assessments, and
- all materials appropriately contained in the Assessment File.

The faculty member’s life-time Scholarship contributions are considered in the context of the normal publication practices in the individual’s field.

4. Tenure and Promotion to Associate Professor (continued)

Criteria for the Granting of Tenure and Promotion to Associate Professor

In order to reach a recommendation in favour of granting Tenure and Promotion to Associate Professor, the Department T&P Committee must determine that the following criteria are all satisfied, as reflected by trends documented in past progress reports and performance assessments, as well as lifetime contributions outside of the University of Guelph.

1. The faculty member is near or at the very good level in one of the areas of teaching and scholarship, and the faculty member is trending towards being near or at the very good level in the other of the two areas.
2. The faculty member makes good and valuable service contributions.
3. The faculty member has an independent and sustainable scholarship program.
4. The faculty member has made good contributions to graduate and undergraduate student advising and mentoring.

5. Promotion to Professor

The criteria for the granting of Promotion to Professor are applicable to tenured Associate Professors.

Article 21.7 reads

“Promotion to Professor recognizes long-term, established and outstanding Scholarship. It is granted in recognition of academic competence, maturity and normally an established international reputation for achievement and expertise in the Member’s field.”

The Department T&P Committee reaches its recommendation on the granting of Promotion to Professor by considering

- the faculty member’s University of Guelph DOE in any applicable years,
- all of the life-time contributions reported in the Progress Template,
- letters from (normally) three external assessors as per Article 21.22,
- past College T&P Committee Performance Assessments, and
- all materials appropriately contained in the Assessment File.

The faculty member’s life-time Scholarship contributions are considered in the context of the normal publication practices in the individual’s field.

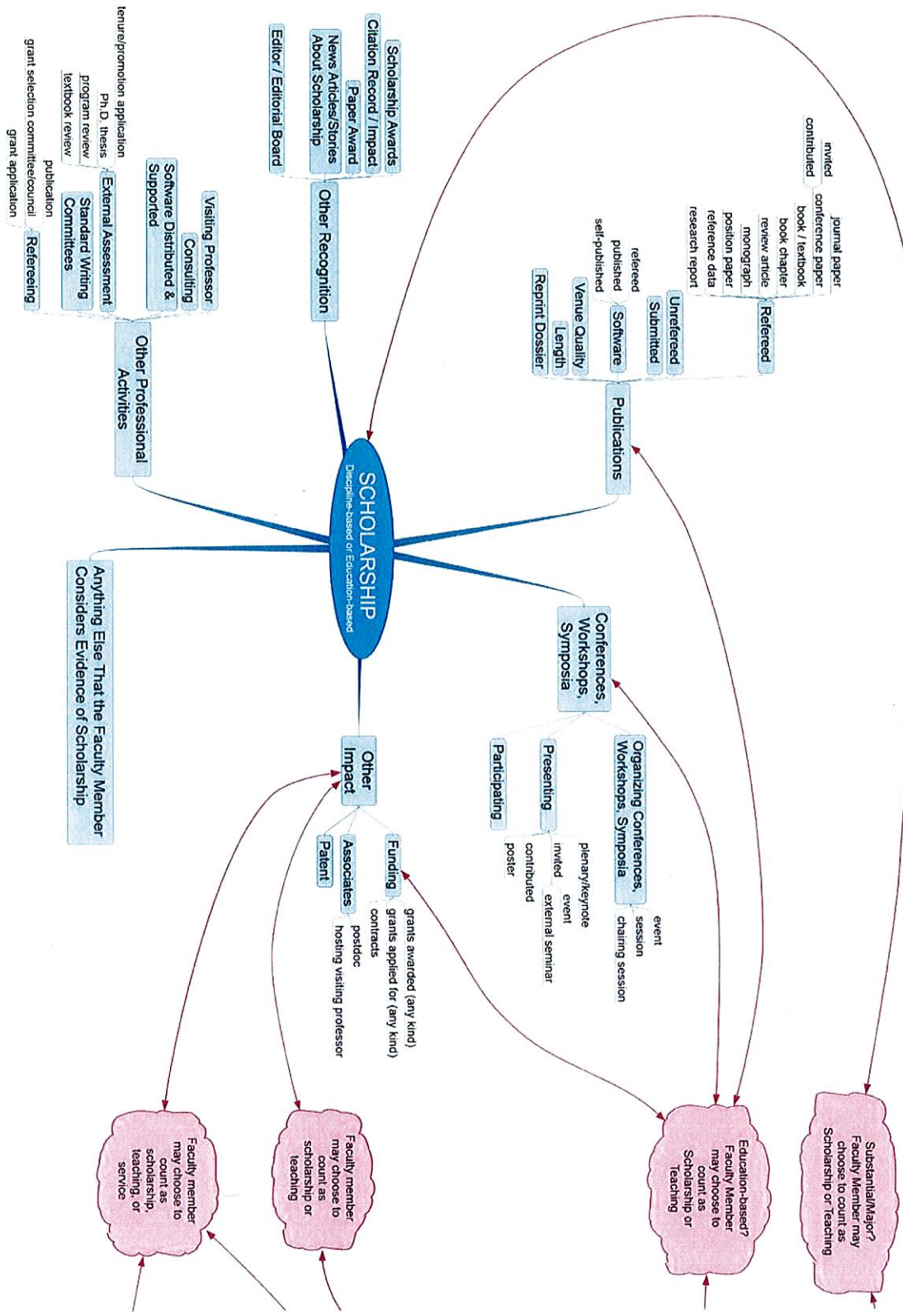
Criteria for the Granting of Promotion to Professor

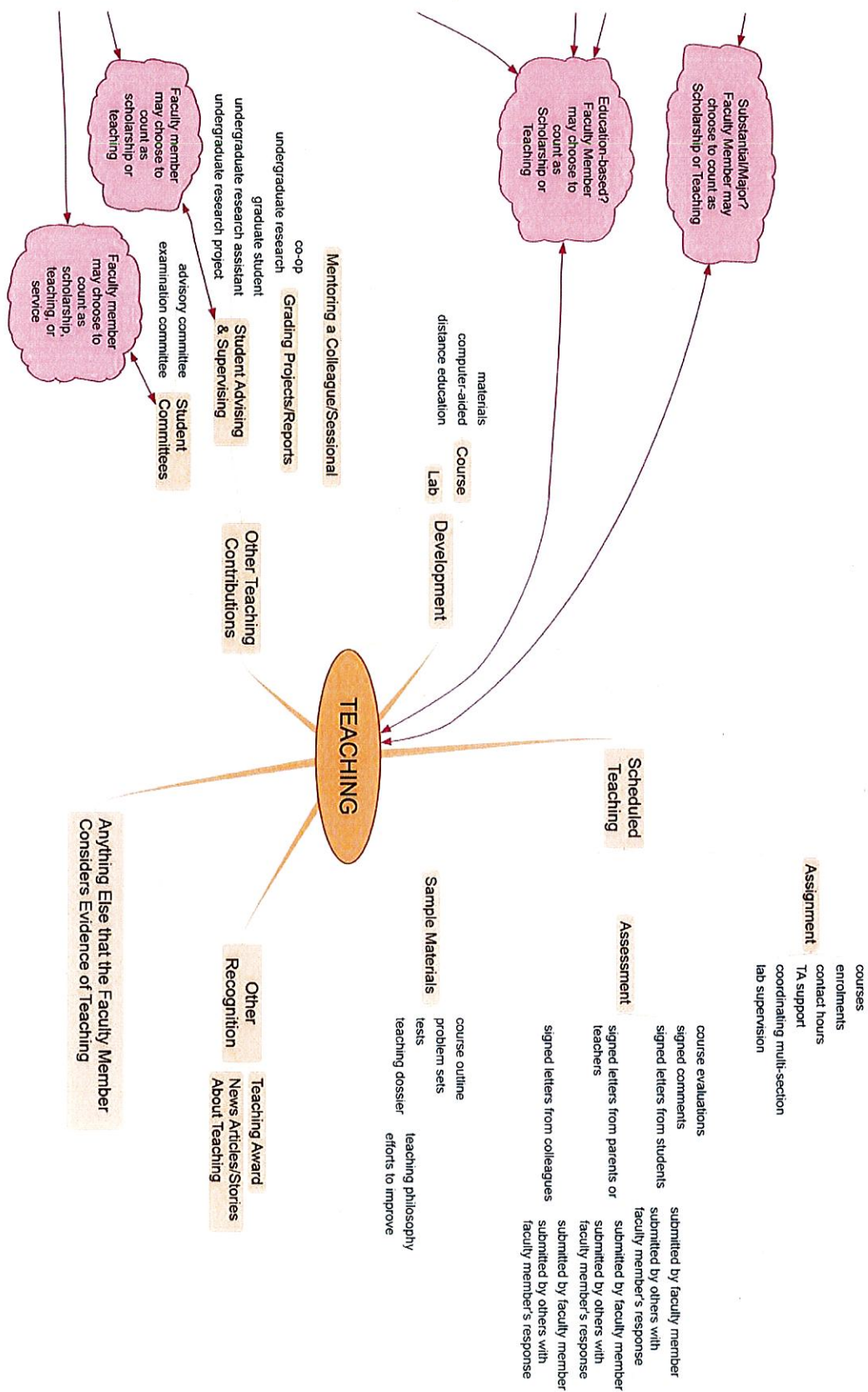
In order to reach a recommendation in favour of granting Promotion to Professor, the Department T&P Committee must determine that the following criteria are all satisfied.

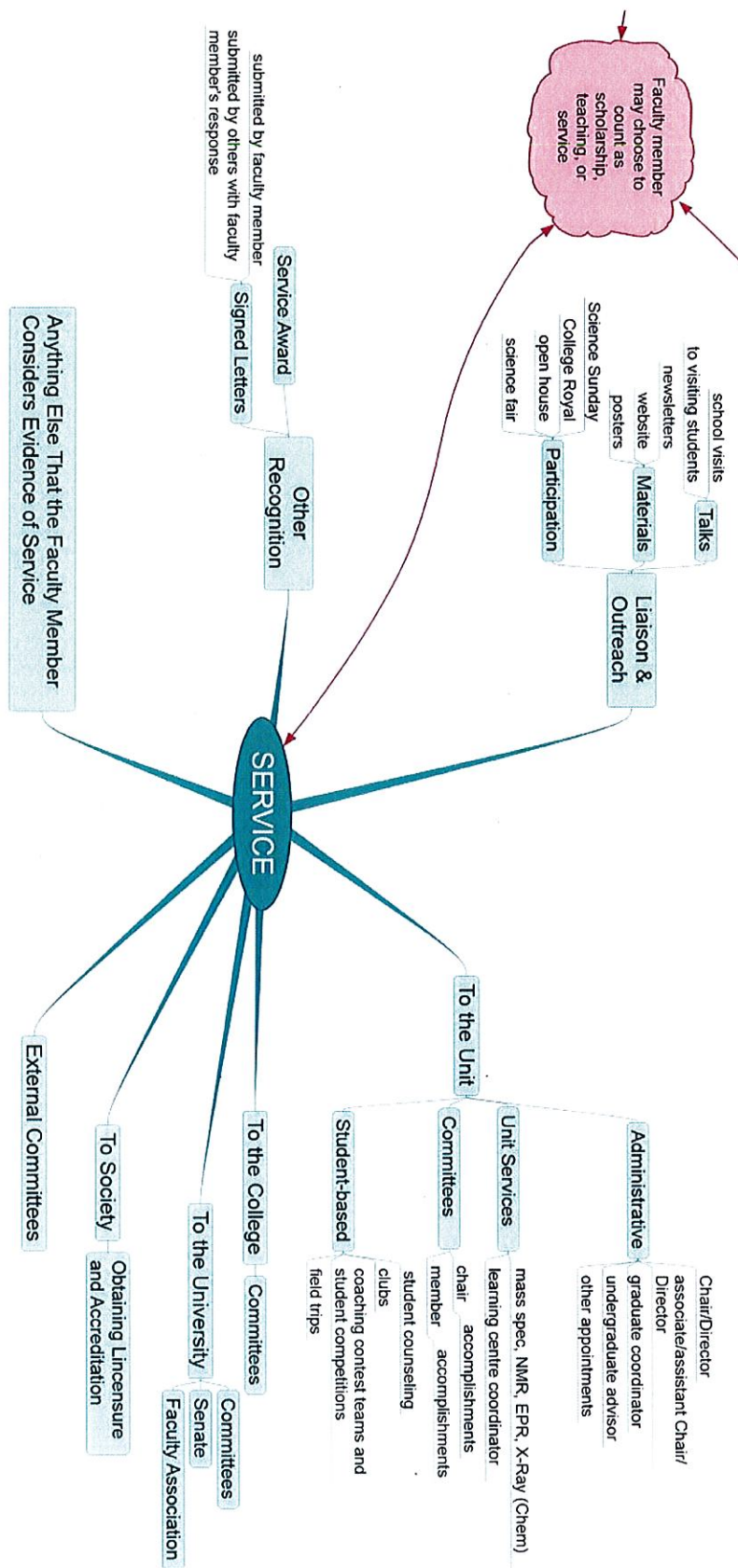
1. The faculty member has a long-term record of being near or at the very good level in both scholarship and teaching.
2. The faculty member has a long-term record of being near or at the outstanding level for one of scholarship or teaching
3. The faculty member has a long-term record of making good and valuable service contributions.
4. The faculty member has a long-term record of sustaining an independent and nationally- or internationally-recognized scholarship program.
5. The faculty member has a long-term record of good contributions to graduate and undergraduate student advising and mentoring.

A. Graphical View of Contributions

The following three pages give a graphical presentation of the contributions towards each area of effort.







Mathematics and Statistics Addendum to CPES T&P Guidelines.

1. Section 4, p13, item 4 : remove the words “graduate and undergraduate”
2. Section 5, p14, item 5: remove the words “graduate and undergraduate”