

FACULTY OF EDUCATION
FACULTY EVALUATION COMMITTEE

CRITERIA FOR THE EVALUATION OF ACADEMIC STAFF

ASSESSED FOR
TENURE, PROMOTIONS AND INCREMENTS

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INTRODUCTION

The Faculty of Education Council is governed by the provisions of the Faculty Agreement as the basis for salary increment, promotion, and tenure policies in the Faculty.

This document is divided into seven parts relating to specific sections of the Faculty Agreement. For each part, excerpts of the Faculty Agreement are presented in italics followed by the interpretation of the Faculty of Education.

- I. University Responsibilities (Article 7)
- II. Standards of Performance (Article 13)
- III. Promotion and Awarding of Tenure (Articles 12 and 13)
- IV. Increments/Annual Review of Performance (Article 13)
- V. Supplementary Professional Activity (Article 8)
- VI. Unacceptable Academic Performance (Articles 13 and 14)
- VII. Sabbaticals (Article 9)

I. UNIVERSITY RESPONSIBILITIES

The Faculty Agreement states that:

7.01 A staff member shall be a scholar, active in teaching, in research, and in service.

Responsibilities

7.2.1 The responsibilities of a staff member shall include:

- a) participation in teaching programs, including classroom teaching, supervision of graduate students and personal interactions with and advising of students;*
- b) participation in research (defined as including the preparation or performance of creative works and reflective inquiry), and the dissemination of the results of research by means appropriate to the discipline; and*
- c) provision of service to the discipline of the staff member; participation in the governance of the University, the Faculty and the Department; and dissemination of knowledge to the general public by making available the staff member's expertise and knowledge of the discipline all of which shall be carried out according to the standards of professional conduct expected of a staff member.*

Throughout their careers faculty members will be judged on their contributions in each of these categories. The standards of performance rise as progress through the ranks occurs.

A. Teaching

All staff members' teaching is expected to be of high quality. Documentation of teaching performance is required of all staff members (see Section II A).

The Faculty of Education emphasizes that the teaching function has many components which must be taken into account. These may include:

- Teaching undergraduate courses
- Teaching graduate courses
- Advising and supervision of undergraduate and graduate students.

The emphasis placed on these different activities may vary from department to department and may include work in support of field experiences. In the interest of uniform treatment and standards, the Faculty Evaluation Committee (FEC) will assume that a given department takes a consistent approach to them in its assessments.

B. Research

The advancement of knowledge through research, development and other forms of creative scholarly activity is an essential component of the work of a staff member. Consequently, each staff member should engage in activities appropriate to the member's discipline and teaching interests, as well as to the functions of the Faculty of Education.

Even though a research function will be fulfilled by all staff, there should be room for flexibility in interpreting how this is to be carried out. The amount of time devoted to research will vary across individuals over time. As well, given the nature of research, the amount of research may vary across different fields of study. Staff members should show some evidence of active involvement in research on a regular basis as indicated in Section II B.

C. Service

In an institution where governance is a shared and collegial activity, the staff member is expected to be a good citizen who accepts responsibility for participating in the activities of the Faculty and University through service on committees and other bodies. As well, the Faculty of Education expects and encourages all staff members to be of service to the public and to contribute to academic and professional bodies provincially, nationally and internationally.

The Agreement states that:

7.09 The degree of participation in the governance of the University and other service responsibilities may vary from staff member to staff member and from time to time. Such responsibilities may be assigned by the Department Chair or may be the result of initiative by the staff member. A staff member shall be actively engaged in service to the university and shall participate in the collegial responsibilities of departmental, faculty and university governance. The staff member shall also be engaged in service to the staff member's discipline or profession.

The assumption of the Agreement is essentially that a faculty member has an obligation both to the University community and to the larger public community.

D. Annual Report

The Agreement states that:

- 7.10 *A staff member shall submit to the Department Chair and Dean an Annual Report on University responsibilities during the previous year.*

The annual report is used by the Department Chair in preparing a recommendation to the FEC, and is made available to the FEC.

E. Supplementary Professional Activities

The Agreement states that:

- 8.12 *Each staff member shall submit an annual statement to the Department Chair and Dean on SPA in the previous year.*
- 8.13 *SPA undertaken during sabbatical, assisted leave and secondment shall be reported in the annual statement.*

F. Report on Sabbatical

The Agreement states that:

- 9.09 *The staff member shall submit a report concerning activities while on sabbatical to the Dean and, where appropriate, the Department Chair. The final report shall be part of the annual report for the year(s) under consideration.*

II. STANDARDS OF PERFORMANCE

The Agreement (13.03 -13.05) states that *"The review of a staff member's performance shall be based on consideration of the performance of the responsibilities of the staff member as outlined in Article 7."* The Agreement further states that Faculty Council will approve standards that *"shall enable FEC to evaluate academic performance across its full range."* In addition, *"Performance expectations shall increase as a staff member moves through the ranks."*

The major function of the University faculty is teaching and research/creative activity. Accordingly, faculty members will be assessed primarily on their contributions in these two areas, and also on their contribution to the service areas. Although contributions in the service area usually receive less emphasis in the making of a total assessment, they are important to the degree that they facilitate the University's teaching and research function. Differences between and within departments (e.g. by teaching specialty area) can and do exist with respect to the emphasis assigned to these areas of responsibility.

Teaching assignments are made by each Department Chair within standards set by the Faculty. While there is some latitude within departments, FEC assesses performance on the expectation of equitable workloads, recognizing the range of contributions both within and between departments. Those who have lighter teaching assignments will be expected to balance their workload through demonstrably better and/or greater performance in other areas.

A. Teaching

The Agreement (13.05 a) states that *"The evaluation of performance shall ensure that, except where a staff member has a reduced teaching assignment, performance as a teacher shall be of major importance in the review."*

A Department Chair's proper assessment of this complex area shall take into account not only the extent of a staff member's relevant activities but also the quality of the staff member's performance of these activities.

A Department Chair will have as much information about a given staff member's teaching performance as possible in order to formulate an appropriate overall assessment. Sources of information will include student responses to questionnaires and at least one other form of evaluation such as:

- Unsolicited letters
- Views of teaching assistants or co-instructors
- Appraisals by peers including observation of teaching and appraisal of course materials
- Views of school and university facilitators, student teachers and Field Experiences coordinators
- Assessments by administrators
- Self-assessment

A review of the teaching performance will involve consideration of many components such as the following:

- Communication in class and provision of feedback to students
- Class organization
- Appropriateness of materials and evaluation procedures
- Appropriateness of course content
- Versatility in teaching
- Teaching of a suitable range of courses and of new courses
- Substantiality of teaching assignments
- Creativity and innovation
- Collaborative teaching
- Involvement at different levels in the undergraduate, graduate and Field Experiences programs
- Awareness of new developments in speciality area(s).

B. Research

It is impossible to come up with a formula for the assessment of research that could be applied to each individual. The following general standards for assessing research apply across Departments:

1. The Faculty values both basic and applied research. The quality of the research is the major criterion in the assessment.
2. There should be evidence of a research program in the reporting of a staff member's research activities.
3. The Faculty values collaborative activities but an attempt will be made to determine relative contributions of individual staff members.

The research activities of a staff member shall be interpreted both qualitatively and quantitatively in terms of the following components:

1. Usually of primary importance:
 - Publication in scholarly journals, monographs, books, and non-print media
 - Application for and/or receipt of financial support for research, development, and other scholarly work
 - Presentation of scholarly papers
 - Continuity and focus of research, development and other scholarly work
 - Production of text-books, computer programs, tests and instructional aids for schools
 - Exhibits, performances and other creative works
 - Editor of refereed scholarly journals
 - Knowledge transformation of research beyond the academic
 - Honours and awards
 - Reports
2. Usually of secondary importance:
 - Editor of professional journals
 - Service as a consultant or visiting professor
 - External examiner
 - Reviewer of scholarly articles
 - Other collaborative activity not listed above

It is not always possible to make a sharp distinction between "research" and "professional" activity (as for example, in the case of service as a consultant to research granting agencies), but where an activity involves research competence, it probably should be viewed as "research".

In making an overall assessment of research performance, Department Chairs shall take into account not only the range and quality of research activity, but also the quality and quantity of its results, its originality, and its reception.

C. Service

The overarching vision for the University of Alberta provides a foundation for including citizenship and collegiality as part of service.

The following activities serve as indicators that a Faculty member is providing service to the University community and to the broader public:

1. Committee and Administrative Work

- Leadership and membership on committees
- Participation in Councils and as an elected member of a formal decision-making body
- Acceptance of responsibilities such as course or program area coordination
- Administrative office held (eg Associate Chair, Graduate Coordinator, etc.)
- Other administrative responsibilities

When making assessments, the Department Chair will take into account the level and significance of the committee, as well as the workload of the committee.

2. Professional and Public Service

- Participation in appropriate learned and professional societies
- Members of editorial boards
- Contributions through seminars, forums and in-service activities
- Service on academic, government community and professional committees and study groups
- Consultative work
- Business management of a journal
- Media (radio, TV) appearances
- Talks to lay groups and organizations

III. PROMOTION AND AWARDDING TENURE

A. Procedures Governing Applications for Promotion and

Recommendations for Tenure (See Article 13.31)

FEC will review the candidate's career performance in each of the above categories of teaching, research, and service, and SPA as appropriate. The Department Chair shall compile information relevant to these categories from departmental records, shall seek assessments from a minimum of three external referees, and shall provide a recommendation regarding tenure and promotion. External referees should be able to comment knowledgeably on one or more of the following areas: the quality of teaching, research (from a national and international perspective) or service.

The candidate shall provide a statement regarding teaching, research and service over the course of his or her career. Included in the package will be a curriculum vitae, a current annual report (for tenure only), a brief statement of the philosophy of or approach to teaching, samples of publications, and peer reviews of USRIs (reference Norma Nocente USRI peer reviews as a model) and classroom performance. The candidate will submit all materials to the Department Chair who will forward them to the FEC Chair.

The FEC Chair shall provide procedures, deadlines, and responsibilities for the candidate and Department Chair. The FEC Chair will provide summaries of confidential material as required in 13.31 (f) and will notify the applicant if a negative recommendation is received from the Department Chair.

B. Tenure

The Agreement states that:

- 13.05c *For the award of tenure, the staff member must demonstrate a strong record of achievement in teaching and research, and must demonstrate on the basis of performance while on probation that he/she is capable of contributing effectively as a staff member in all areas of responsibility.*
- 13.10 *Standards for the award of tenure and concurrent designation as associate professor shall not be changed during probation for an individual staff member unless the staff member agrees, in advance of the hearing of FEC, to the new standards.*
- 13.26 *The promotion of a staff member and the award of tenure shall be decided by FEC following review of the staff member's performance over the complete career.*
- 13.27 *A recommendation for tenure, received by FEC in accordance with the procedures of Article 12, shall automatically include recommendation for designation as associate professor. (emphasis added)*

In deciding issues of tenure, the quality of the candidate's teaching will be given special scrutiny. The FEC will review the candidate's teaching performance as evidenced in courses taught, their course outlines, peer reviews of USRIs, and any other materials the candidate may wish to include.

The tenure decision will include a review of the candidate's performance in research. The FEC will review the candidates program of scholarly work including publications, presentations or other work completed, and record of funding.

Because the Faculty of Education is a professional Faculty, emphasis will also be given to the candidate's performance and promise in the areas of service. Faculty members are also expected to conduct themselves professionally and according to the ethical standards set by relevant professional associations. The candidate's involvement in professional and academic associations will count as service.

A candidate for tenure is normally expected to have obtained a doctoral degree.

C. Promotion to Full Professor

The Agreement states that:

- 13.29 *When a staff member is eligible for promotion to the rank of professor, the staff member may apply to FEC to be considered for promotion.*

The entire record of the candidate is reviewed by FEC and external assessments are considered. In order to be promoted to the rank of full Professor, the candidate must have achieved a level of scholarly performance that is recognized as distinguished within a national and international context. Promotion to Professor will be dependent on distinction in teaching or research and at least satisfactory performance in the other category. It is also expected that the candidate will have made a significant contribution in at least some of the service areas.

IV. INCREMENTATION/ANNUAL REVIEW OF PERFORMANCE

The Agreement states that:

13.34 *In preparation for submission of a recommendation to FEC under this Article, the Department Chair shall review the performance of each staff member in the Department in the year under review, the particular year being determined by Faculty Council. The performance shall be reviewed in relation to the responsibilities under Article 7 and to the standards under 13.04-13.05. Each review shall include a meeting between the staff member and the Department Chair and such other consultation as the Department Chair deems necessary, provided that a meeting between the staff member and the Department Chair shall not be required if the staff member is not available or refuses to meet.*

A. Definition of "The Year Under Review"

The annual report of a staff member will cover the period from July 1 to the following June 30. Intersession teaching will be reported in the period in which it occurs; that is, spring session will occur in one period and the following summer session will occur in the following reporting period. Publications will be reported in the following way:

1. Normally publications will be reported in the period in which they are actually published.
2. Articles and books that are in press as of June 30 may be included with a confirmation letter from the publisher. These publications cannot be reported again in future annual reports.

B. Increment Policy

Increments are earned based on performance during the year under review. No increment is automatic. FEC will attempt to insure that there is equity among individuals in the awarding of increments. Special consideration will be given to those individuals whose teaching and/or research are affected by their service commitments to the Faculty or Department. Increments are awarded on a normative basis. As one moves through the ranks, it becomes progressively more difficult to earn a multiple increment. The increment will be awarded from one of the following categories as per the Agreement (13.23 – 13.24):

- a. *a single increment;*
- b. *a multiple increment, which may be one and one half, double, two and one half or triple a single increment;*
- c. *a one half, which is one half of a single increment;*
- d. *a partial increment, which is an increment that is less than a single increment but is not a one-half increment and which will bring the salary of a staff member of the salary ceiling of the staff members rank;*
- e. *a special increment, which is an increment that is greater than a single increment but not a multiple increment, which will bring the salary of a staff member to the salary minimum of the next higher rank;*

- f. *no increment.*

If a Department Chair recommends that no increment be awarded to a staff member, or if FEC decides that no increment be awarded to a staff member, in either or both cases, the decision shall be cited as one of the following:

- a. *that maximum for rank has been reached and standards for promotion have not been met but performance is acceptable notwithstanding;*
- b. *that performance requirements for an increment have not been met but performance is acceptable notwithstanding;*
- c. *that academic performance while on authorized leave could not be properly evaluated;*
- d. *that academic performance is unsatisfactory and unacceptable.*

The 0 d) is an indication of unsatisfactory performance. It is awarded when the basic expectations of teaching have not been met, or when there is little evidence of research or scholarly activity, or when the staff member has failed to meet the expectations of professional conduct. Problems in service and SPA normally will be of secondary importance in such assessment.

V. SUPPLEMENTARY PROFESSIONAL ACTIVITY

The Agreement states that:

- 8.16 *SPA shall be taken into account in the evaluation of a staff member's performance for tenure, increments and promotion. The annual statement concerning SPA shall be available for information to FEC.*

A. Definition of SPA

The Agreement states that:

- 8.7 *Without restricting the generality of the term SPA, this category shall include any of the following:*

- a) *employment in any capacity by another employer including the carrying out of teaching duties, e.g. summer session at another university;*
- b) *consulting;*
- c) *personal services contracts;*
- d) *private practice of the staff member's profession.*

The Faculty of Education policy statement on SPA was adopted at the April 5, 1988 Faculty Council meeting. The following statements are drawn from that policy statement.

B. Reporting Requirements

The reporting of SPA will be included in the annual report for the period July 1 to June 30 by indicating activity, agency and estimate of total hours involved.

C. Faculty Regulations

When evaluating SPA, FEC looks for evidence that the activity:

- Is an integral part of a staff member's effort to relate theory and practice
- Is relevant to the research and professional focus of the individual
- Is neither routine nor trivial

There is no expectation that a faculty member engage in supplementary professional activity.

University policies for use of University facilities and equipment must be adhered to when engaging in supplementary professional activities. If relevant, a staff member engaged in a supplementary professional activity should have liability insurance coverage.

The time of year, month or week spent on supplementary activities is not of significance as long as it does not interfere with normal University duties.

D. Approval of SPA

The Agreement states that:

8.09 A staff member shall obtain written approval of the Department Chair prior to undertaking major SPA. Prior to approving SPA, the Department Chair shall ensure that primary University responsibilities will be performed satisfactorily.

Any supplementary activity equal to a three credit course is to be classified as a "major" supplementary activity regardless of monetary value.

VI. UNACCEPTABLE ACADEMIC PERFORMANCE

The Agreement states that:

14.01 The FEC Chair shall refer the record of a staff member to the Provost with a recommendation that the staff member be disciplined for unacceptable academic performance if FEC has cited performance as unsatisfactory and unacceptable, provided that the staff member's performance has also been cited as unsatisfactory and unacceptable in either of the two preceding years and further provided that, if the staff member had appealed the FEC decision to GAC, such appeal was not upheld.

VII. SABBATICALS

The Agreement states that:

- 9.03.1 *The staff member shall submit an application for a sabbatical to the Dean, through the Department Chair, by October 15 in the year prior to the academic year in which the sabbatical will be taken.*
- 9.04.1 *FEC, after consideration of the applications, shall submit a recommendation to the Dean as to which applications should be approved and which should not be approved.*
- 9.04.3 *In their consideration of the applications, FEC and the Dean shall consider the proposed sabbatical programs to determine whether they are meritorious and whether they will be to the mutual advantage of the staff member and the University.*
- 9.9 *The staff member shall submit a report concerning activities while on sabbatical to the Dean and, where appropriate, the Department Chair. The report shall be part of the annual report for the year(s) under consideration.*

The Agreement states that:

- 9.10 *If, after a staff member has been granted a sabbatical, the Department Chair, for the purposes of the normal operation of the Department, deems that the work of the Department would be unduly hampered by such sabbatical, the Department Chair shall recommend to the Dean that the sabbatical be deferred for six or twelve months. The Dean shall consider such recommendation and decide, with such decision final and binding. The deferral time shall nevertheless be counted towards eligibility for a succeeding sabbatical.*

Sabbatical applications will be assessed on the merit of the proposal. When more than 10% of the staff members in the Faculty apply and are judged to be meritorious, applications will be ranked by FEC.

While normally the Dean will follow the recommendations of FEC, the role of FEC with respect to sabbaticals is advisory. Under the Agreement, the Dean retains the power to grant or refuse sabbaticals notwithstanding the advice of FEC.

Upon return from sabbatical, the staff member will provide the Dean with a report. The report, along with the original sabbatical proposal and any correspondence between the staff member and FEC Chair concerning the leave, will be made available to FEC. This will be used to determine merit of performance during the year. On successful completion of a one year sabbatical leave, normally the staff member will be considered for a 1.0 increment.

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