

University of Lethbridge

Faculty of Arts and Science

Guidelines for Documentary Evidence to be Provided by Academic Staff for Purposes of Performance Evaluation and STP Hearings

Preamble

Nothing in these Guidelines is intended to replace nor do these Guidelines take precedence over Faculty Handbook provisions pertaining to career progress reviews and evaluation processes. The intent of these Guidelines is to provide a framework by reference to which academic staff members involved in review processes (hereafter, “member”) may prepare files for review purposes which contain all requisite information for fair reviews to be conducted, yet economizes on the time members have to devote to preparing the relevant submissions. It is a requirement that any member subject to a review shall have knowledge of all the evidence being used in their assessment, and shall be provided with a reasonable opportunity to include a written response to any of that material, if that is the member’s choice. Since the Faculty Handbook requires that all information used in any review of a member be part of the member’s Personal File, the documentary evidence for all reviews shall be sufficient for the purposes of the review in question, in order to render a fair and reasonable decision, but may not exceed reasonable limits, based on the requirement of inclusion of all such material in the member’s Personal File. To contextualize the materials submitted for any Faculty Handbook review purpose, members are encouraged to provide a concise covering letter, orienting assessors to the content and purpose of the various sections of submitted materials.

Annual and Biennial Reviews

Faculty Handbook Articles 15 and 21 outline the requirements for the submission of annual (or biennial, where appropriate) Professional Activities Reports (PAR), where Schedule F of the Handbook provides the actual form to be used, for this purpose. Article 9.12 of the Handbook requires that members maintain an annually updated *Curriculum Vitae* in their Personal File. For administrative purposes, and by Faculty convention, this updated *Curriculum Vitae* is submitted with the PAR, or the annual report referred to in Article 21.07.5, when the member is subject to biennial evaluation.

When a member is subject to annual or biennial evaluation, the member may submit supplementary documentation in addition to the PAR, to the extent needed in order that a fair evaluation of performance may be made. Where the member’s position involves teaching, research or service duties, as defined in Articles 12.01.1, 12.01.2 and 12.01.3 respectively, supplementary documentation **should** be limited to the following items.

1) Teaching Effectiveness Supplementary Documentation

“Teaching effectiveness” is a shorthand term for the criteria described in Article 12.01.1 of the Faculty Handbook. Supplementary documentary evidence which reflects the level of teaching effectiveness of the member, includes:

- A statement of teaching philosophy: this may be included as a separate document, or incorporated in the covering letter. At the member’s discretion,

submission of a teaching philosophy may be confined to STP reviews for the awards of Extension of Probation, Tenure or Promotion.

- Course materials: (a) probationary and Term Appointment members - all course syllabi, plus a representative sample of assessments (tests, essays, assignments, etc.) for each course; (b) continuing and tenured members - course syllabi and a representative sample of assessments, as in (a), for new or significantly modified courses only.
- Student evaluations: (a) probationary and Term Appointment members - student evaluations for all courses; (b) continuing and tenured members - at least one evaluation for each level of course taught during the two-year biennial evaluation cycle. Student evaluations must be conducted using the Faculty-approved questionnaire. For each course evaluated, the Department Chair or other Assessor shall provide a fair summary of the raw data to the member, and shall provide this fair summary to the Dean's Office, as supporting documentation for the Chair or other Assessor's assessment of the members teaching performance.
- Other forms of evaluative data should be included by all members, and may include one or more of the following: (a) peer evaluations of teaching effectiveness, conducted through an agreed protocol adopted by the Faculty; (b) letters of reference from students, solicited through an agreed protocol adopted by the Faculty; (c) evidence of participation in teaching development activities, for example, text development, participation in CAETL workshops, instructor mentoring, a summary of any service performed as a peer evaluator; (d) grade distributions; and (e) any other material relevant to the demonstration of teaching effectiveness by the member, not reflected in evidence already provided, and approved by the Department Chair or other Assessor.

2) **Research Supplementary Documentation**

"Research" is a shorthand term used to mean the activity described in Article 12.01.2 of the Faculty Handbook. Supplementary documentary evidence is highly dependent on the nature of the discipline of the member. With the inclusion of complete references to published work on the PAR and *Curriculum Vitae*, copies of published work should not be submitted as supplementary documentation unless specifically requested. In order to provide context for the significance of published work, reviews, impact factors, citation data and like summaries or material may be submitted as supplementary documentation relative to research activity. To supplement PAR information relative to any grant applications or awards, members may submit referee reports or committee adjudication reports relative to these submissions. Where work is incomplete, in progress or unpublished at the time of submission of the PAR, the onus is on the member to demonstrate the importance and/or impact of such work, relative to the period under review. Information used in establishment of the importance and/or impact of the work shall be obtained through an agreed protocol adopted by the Faculty.

3) **Service Supplementary Documentation**

"Service" is a shorthand term used to mean the activity described in Article 12.01.3 of the Faculty Handbook. Supplementary documentary evidence with respect to service may include: letters of reference or commendation for service activity; letters of appointment to

committees, boards and other bodies; short sample publications of non-refereed work placed in the public domain; and any other material speaking to the quality and impact of service contributions by the member, not reflected in evidence already provided, and approved by the Department Chair or Program Coordinator.

Tenure and Promotion Hearings by STP Committees

Articles 15, 19 and 20 of the Faculty Handbook contain the procedures to be followed for career progress Hearings conducted by Faculty STP Committees. Before any such Hearing commences consideration of a substantive recommendation for career progress, the Committee must consider and pass the motion: "That the evidence presented to the Committee is a sufficient basis for a fair and reasonable decision." The period covered by such evidence is dependent on the recommendation being considered. For probationary reviews, the evidence covers the relevant probationary period in the cases of Extension of Probation, Continuing Appointment and Tenure hearings. For promotion hearings, evidence covers the period which constitutes the candidate's academic career, at the University of Lethbridge and elsewhere.

1. Probationary Reviews

When a probationary review is being conducted for the awards of Extension of Probation or Continuing Appointment, under current Faculty Handbook provisions, it is typically the case that no annual evaluations will yet have been made. Thus, the evidence to be presented in such cases shall cover that portion of the completed probationary period up to January 10 in the year of the Hearing, with documents being those which would be used as *if* the review were an annual review based on: an up-to-date *Curriculum Vitae*; a PAR and supporting documentation for the academic year prior to the year of the Hearing; and a supplementary report for the period from July 1 of the year prior to the Hearing to January 10 in the year of the Hearing. The Chair of the STP Committee shall also provide a recommendation to the Committee, in accordance with Article 20 of the Faculty Handbook. The member may submit a written response to any documents presented to the Committee, including the recommendation of the Chair of the STP Committee, and the member has the right to appear before the Committee.

2. Tenure Reviews

When a review is being conducted for the award of Tenure, the period the evidence covers shall be for that portion of the completed maximum probationary period up to January 10 in the year of the Hearing. The evidence to be included should be: an up-to-date *Curriculum Vitae*; a PAR and supporting documents for the last academic year prior to the year in which the Tenure Hearing is held; any supplementary documentation with respect to teaching, research and service (as defined in 1) – 3) above) up to January 10 in the year of the Tenure Hearing; all of the PAR's and supporting documents from the Personal File for the completed and evaluated portion of the maximum probationary period; Chairs' or other Assessors' assessments and Dean's Office evaluations with respect to evaluated PAR's from the member's Personal File; a letter from the member describing their fulfillment of the criteria for the award of Tenure; the recommendation of the Chair of the STP Committee with respect to the award of tenure; and any written response which the member provides, pertaining to any part of the review file. The member has a right to appear before the Committee. If confidential letters of reference are used in a review for the award of Tenure, such letters shall be **solicited** through a process that is fair and reasonable. The member shall be provided with a fair summary of

any confidential letters of reference, and has a right to provide a written response to the fair summary. When a member has service on a Term Appointment which is included in the probationary period for a Tenure Hearing, Chairs' or other Assessors' reports which are included in a Personal File, but were not the basis for a performance evaluation may be included as supporting documentation. At the conclusion of a Term Appointment, a performance assessment of the member may be made by the Chair or other Assessor, at the member's request. Such assessments are included in the member's Personal File.

3. **Promotion Reviews**

When a review is being conducted for the award of promotion, the period the evidence covers shall be the member's academic career, at the University or in comparable positions elsewhere. The evidence to be included in the file for review by the STP Committee shall be: an up-to-date *Curriculum Vitae*; a letter from the member describing their fulfillment of the criteria for the award of promotion; PAR's and their supporting documentation from the member's Personal File for the five year period prior to the year in which the Promotion Hearing is to be held; the written recommendation from the Chair of the STP Committee with respect to the award of Promotion; and any written response which the member provides, pertaining to any part of the review file. The member has a right to appear before the Committee. If confidential letters of reference are used in a review for the award of promotion, such letters shall be solicited through a process that is fair and reasonable. The member shall be provided with a fair summary of any confidential letters of reference, and has a right to provide a written response to the fair summary.

Approved in principle:

Faculty of Arts and Science Dean's Advisory Committee, January 24, 2012.

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