

**Guidelines and Criteria for Decisions Tenure, Promotion
and Performance Review**

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NOTE:

*This document serves as guidelines, for more detail see Faculty Collective Agreement
(http://www.uoguelph.ca/facultyjobs/join/fsg_appointment.shtml)*

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1. INTRODUCTION

This document constitutes the policy of the Department of Food Science for evaluation of faculty performance. This document will be distributed to new faculty within the first month of employment by the Department Chair. For specific University policies refer to current Collective Agreement. Where these guidelines do not agree with the collective agreement, the agreement should be used.

Faculty policy at the University of Guelph clearly reflects the opportunity for different career paths. Consideration will be given to individual's contribution in the area or areas of his/her responsibility, for example teaching, research, service to society (extension, technology transfer), and service to the University (see Collective Agreement, section 10 - Faculty Members Rights and Responsibilities). The Department of Food Science fully endorses this statement in the career development and evaluation of its faculty.

Faculty will be evaluated based on a career path appropriate for an individual's situation and discussed with the Department Chair. The distribution of a faculty member's evaluation is based only on his/her distribution of effort. As per article 10.10 of the collective agreement, a Distribution of Effort (DOE) for each Member shall be defined in his/her Letter of Appointment and as mutually negotiated in any subsequent agreements documented in the Member's Official File. The DOE defines the relative effort with respect to activities undertaken in fulfillment of his/her academic responsibilities in the areas of teaching, scholarship and service. The DOE is modified through negotiation and agreement of the Dean and the Member.

For purposes of assessing faculty for Tenure, Promotion or Time and Performance Review each Faculty member is required to complete the appropriate College form.

2. WORKLOAD

Faculty members have the right to choose diverse career paths and different distributions of effort, in consultation with the Department Chair. Efforts in teaching, research, and service to society (extension) are equally important for the Department. All faculty are expected to participate in scholarly activity, demonstrate creativity and originality and contribute service to the University appropriate to their rank.

3. FACULTY ACTIVITIES

3.1. Teaching

The Department of Food Science encourages excellence in teaching in all areas, including undergraduate teaching and graduate teaching and advising.

Participation in any of these areas will receive equal consideration in promotion, tenure and selective increment deliberations (see article 10.05 of the collective agreement).

At the undergraduate level, teaching contributions may include:

- classroom contribution and performance;
- course development (e.g., content, methodology, contribution to the University's Undergraduate Learning Objectives, and/or coordination relative to related program courses and the Undergraduate Committee);
- maintenance of academic standards, student counselling, general interaction with undergraduate students;
- support of the Department's undergraduate teaching effort;
- innovation and enrichment of academic experience.

At the graduate level, teaching contributions may include:

- advising of graduate students;
- participation in graduate advisory committees;
- presentation in graduate courses;
- contribution to development and innovation of graduate curricula;
- participation in graduate seminars and colloquia;
- participation in interdepartmental/interdisciplinary graduate programs;
- participation in graduate evaluation, qualifying and final examinations;
- overall interaction with graduate students and activities that promote high academic standards.

Being a satisfactory teacher, as judged by student or faculty evaluation, is by itself not a sufficient reason for tenure, promotion, or a high selective increment rating. Evidence of scholarly activity is also required. Examples include: scholarly publications on teaching, publication of teaching materials (books, lab manuals, films, slide sets, computer programs, etc.), talks given to professional educators or other user groups, innovations in teaching methods, and external recognition of teaching excellence. To enable faculty to pursue new teaching goals and to undertake new approaches to university teaching, they are encouraged to pursue opportunities to improve teaching not only in their research semester but at any time throughout the year.

Part of the regular evaluation of faculty members will be based on a teaching dossier (Appendix A), which provides a vehicle for faculty to report teaching accomplishments. This dossier will include a teaching statement in which the faculty member provides a contextual commentary on teaching experiences and objectives. The teaching statement permits faculty to provide a context for student evaluations. The dossier may also include materials such as course outlines, assignments, instructional aids, final examinations, reports on classroom observation by peers, and measures of student achievements (such as entry-exit tests).

Student assessment of teaching will form part of the information used by the Department Committee in evaluating the faculty member's contribution in the area of teaching. .

Questionnaires soliciting student comments which clearly state the identities of students who make signed written comments will be made available to the faculty member. Signed written student comments of teaching will be kept in the Chair's office files for four years and then destroyed.

3.2. Research, Scholarly and Other Creative Activities

Evaluation of basic and applied research will emphasize originality, excellence and significance. Evidence of such contributions can be expressed in many forms but must be available for review and critical analysis. See also article 10.06 of collective agreement. Scholarship in research can be demonstrated through:

- refereed publications
- authorship of books or chapters in books
- addresses (particularly invited) at scholarly symposia
- a historical record of successful applications for grants/contracts
- development of software and decision support systems
- development of other new technology, value-added products, and patents
- major technical reports
- non-refereed and other publications derived from research that:
 - provide an appropriate intellectual challenge
 - are the result of research and scholarly activity
 - constitute a significant contribution to the field.

3.3. Service to Society

The Department recognizes service to society as technology transfer, extension, continuing education and service to industry and professional organizations and the public (also see article 10.08 of collective agreement).

Technology transfer, extension and continuing education activities should be delivered in a timely, efficient way and should be innovative and effectively targeted. Service to society will emphasize excellence and impact as demonstrated by:

- ability to interpret, facilitate, interact or apply knowledge to meet clientele needs
- ability to interpret research and new developments in the discipline
- leadership and innovative application of the discipline
- high level of expertise in discipline
- activity in appropriate technical and professional societies

Evidence of activities related to service to society is not by itself sufficient reason for tenure, promotion or a high selective increment rating. Evidence will be required of scholarly activities that show competence in dissemination of knowledge and the application of the results of scholarly enquiry in basic and applied disciplines for the benefit of society.

Where service to society is a significant component (e.g., 20% or greater) of a faculty member's responsibilities, this component may be evaluated on the basis of a service to society dossier (Appendix B).

3.4. Service to the University

It is important that faculty members function as integral parts of the entire academic community, participating in the committee structure of the University, Department and within the college. These committees are many and varied, and it is expected that faculty will participate and be assessed on the quality of their contribution to these important aspects of University life. The department believes such efforts contribute to the efficient operation of the University, quality of the working environment, and academic and other scholarly pursuits.

4. PERFORMANCE RATING

An overall performance rating is based on an integration of the evaluations in the areas relevant to an individual's career path. These areas include teaching, research, service to society and service to the university. Contributions within these defined areas must be documented for tenure, promotion and performance step increases. Although it is not expected that all faculty will excel in all areas, it is expected that faculty show competence in all areas appropriate to his/her appointment as defined in his/her career path.

A. Evaluation process

Performance descriptors will be employed to determine the remuneration for performance increments and in some cases annual career increments. Assessment of performance will be made on a biennial basis for all faculty and multi-year contractually limited faculty, with a repeat evaluation in the intervening year for those faculty who had an "unsatisfactory" or "improvement required" rating in the biennial assessment. Evaluations are based upon the candidate's defined responsibilities and career path. Each member of the Promotion and Tenure Committee will, after due deliberation and discussion by the committee including the distribution of effort that pertained to each faculty member over the evaluation interval, evaluate the overall performance of each faculty member in terms of one of five possible ratings.

Unsatisfactory: Performance is unsatisfactory relative to the standards of the department and the University, i.e. it falls well short of expectations within the

established career path and allocated of duties. The faculty member is not meeting her or his responsibilities. In the standard career path this will mean poor work in teaching and negligible research productivity. Performance is unsatisfactory in at least two of the areas of teaching, research or service/administration.

Improvement required: There is not evidence of sufficient career progress to justify normal advancement along the grid. The performance falls short of "good" but cannot be deemed entirely unsatisfactory. This judgment could reflect teaching of barely acceptable quality (poor classroom performance, teaching materials less than current, persistent student complaints that have been investigated and are deemed justified,), or less than satisfactory performance in assigned service/administrative duties, or negligible output of scholarly work, or all of these; the proportions to which the areas cited would enter the judgment will reflect the faculty member's allocation of effort. Performance requires improvement or development in two of the areas of teaching, research or service/administration and poor in the other area of responsibility.

Good: Performance is at least good in two of the areas of teaching, research or service/administration and not unsatisfactory in the other areas of responsibility. A satisfactory performance according to distribution of workload and the minimum expectations set out in section 3.0 of the document in the areas of teaching, research and service to society. This level of performance will show obvious career progress, thereby meriting award of steps along the career progress grid. There will be no significant problems or unsatisfactory aspects in any of the areas of teaching, research*, service to society or service to the University.

Very Good: Performance is very good in two of the areas of teaching research or service/administration and at least "good" in the other area of responsibility. A good performance according to distribution of workload and the minimum expectations set out in section 3.0 of the document in the areas of teaching, research and service to society. Performance will be markedly superior in at least one of the areas of teaching, research*, service to society or service to the University and very good in another. A positive approach to service or administrative assignments, if and as requested by the Chair or Dean, is expected, as is effective discharge of these assignments.

Outstanding: An outstanding performance according to distribution of workload relative to the good performance. The performance is outstanding in two of the areas of teaching, research or service/administration and with international recognition and at least very good in the other area of responsibility.

*"Research" includes the scholarly activities associated with an alternate career path that is oriented toward education.

Additional Guidelines:

- voting on promotion and tenure will be a “yes” or “no” vote;
- documentation must be updated biennially for all faculty; an intermediate year update is required for contractually limited faculty with appointments greater than one year and for those who had an unsatisfactory rating at the biennial evaluation;
- at the conclusion of the performance evaluation, a performance report summarizing the Committee's evaluation of progress as well as recommendations or decisions concerning promotion and tenure will be forwarded to the College committee.

5. TENURE

The Department will consider all non-tenured faculty for promotion on an annual basis. For tenure to be supported, the Department Committee requires evidence of the faculty member's competence, maturity and independent scholarship. The Department recognizes that a faculty member's defined areas of responsibility (distribution of effort) will affect the quantity of effort in research, teaching and service.

6. PROMOTION

The Department will consider all Assistant Professors for promotion on an annual basis. Associate Professors will be asked (May/June) by the Chair if they wish to be considered for promotion to Professor, and will be evaluated by the Committee only if they subsequently indicate in writing that they do wish to be considered.

The growth in responsibilities of a faculty member is a continuous process rather than one which occurs in discrete stages related to academic rank. Promotion from one academic rank to another implies that the faculty member is already performing many of the responsibilities associated with the higher rank at a fully satisfactory level. Therefore, guidelines for promotion can be defined on the basis of expectations associated with each rank.

Assistant to Associate Professor (together with Tenure)

The faculty member should demonstrate, in a manner appropriate for the defined distribution of effort:

- that the Ph.D. degree is completed; tenure would only be granted to a faculty member without a Ph.D. degree when there is evidence of significant scholarship;
- that teaching meets the expectations of fully satisfactory performance at the academic rank of the appointment ;
- that an independent research program is established and refereed publications have been produced beyond Ph.D. or Postdoctoral research. Competence and independent scholarship is expected;
- the ability to attract and successfully advise graduate students

- the effective participation in the extension and service efforts of the Department;
- effective collaborations in teaching, research, and/or service with other personnel within and/or outside of the Department.

The above guidelines must be applied in the full knowledge that time is required for an incoming faculty member to develop courses, initiate research programs (including the financing, and recruitment of graduate students), and to develop a network of contacts.

Associate to Professor

The candidate should possess academic stature and demonstrate leadership and excellence in at least two, but preferably more, of the following areas of scholarly and creative activity: Research, Teaching, and Service to the University and Service to Society. Further, the candidate must have achieved recognition beyond the University, which in research and scholarship should be international. Not all faculty can reasonably expect to be promoted to Professor.

For promotion, written opinion of the faculty member's research and other scholarly activities by external referred will be sought by the Dean's office.

7. RESPONSIBILITIES AND EXPECTATIONS FOR FULLY SATISFACTORY PERFORMANCE FOR DIFFERENT ACADEMIC RANKS

The responsibilities and expectations regarding performance that are defined for the different academic ranks in the remainder of this section are neither exhaustive nor exclusive and will vary depending on the defined distribution of effort for each faculty member.

7.1. Expectations of fully satisfactory performance for an Assistant Professor

- achieves a rating of at least 'good' in teaching at the diploma, undergraduate and/or graduate levels;
- participates in graduate education, whether in advising graduate students or serving as a member of graduate advisory committees, typically at the M.Sc. level;
- conducts and publishes research that is independent, original, and innovative, with a balance between peer-reviewed and non-peer reviewed publications that is dependent upon the appropriate career path;
- contributes effectively in service to society/extension, through such venues as Open Learning, off-campus advisory committees, and technology transfer.

7.2. Expectations of fully satisfactory performance for an Associate Professor

Beyond those listed for Assistant Professor,

- may undertake curriculum development or other innovative aspects of instruction;
- advises both M.Sc. and Ph.D level students;
- conducts and publishes research in a food-related discipline that may be more integrative and multi-disciplinary, including initiating new research programs; research performance is nationally recognized and at a consistently high level;
- contributions to society may include executive positions in professional and scientific committees, as well as technology transfer of recognized benefit to society;
- accepts leadership positions within Department/College/University committees.

7.3. Expectations of fully satisfactory performance for a Full Professor

Beyond those listed for Associate Professor,

- plays a significant role in guiding, reviewing, and developing curricula, innovative instructional materials, and educational programs;
- conducts a research program that is internationally recognized;
- is a recognized authority in a particular food-related discipline, sought after by user groups, the public, and government;
- provides leadership in academic life, both within and among universities.

Appendix A. Teaching Dossier

In 1994, the University adopted Section E 1.04 (iv) of Faculty Policy, which states: “Part of the regular evaluation by the Department Tenure and Promotion Committee will be based on a teaching dossier which provides a vehicle for faculty to report teaching accomplishments. The dossier will be revised by the faculty member at least once every three years and made continuously available to the Department Committee. This dossier will include a teaching statement in which the faculty member provides a contextual commentary on teaching experiences and objectives. The teaching statement permits faculty to provide a context for student evaluations. The dossier may also include materials such as course outlines, assignments, instructional aids, final examinations, reports on classroom observation by peers, and measures of student achievements (such as entry-exit tests).”

The Food Science teaching dossier should reflect what the faculty member professes to be his or her core approaches, principal goals and most significant accomplishments in teaching and student learning. It allows the faculty member to provide a context in which the Department Committee can fairly interpret and evaluate the otherwise stark inventory of courses taught and numerical student evaluation scores listed on the Departmental P&T form. But beyond this evaluative function, the dossier should also serve as a tool faculty can use to reflect on their own teaching, and develop and describe strategies for self-improvement.

Those faculty members in the department whose distribution of effort includes a teaching component will include a teaching dossier with their P&T materials. Those without a teaching component (particularly those who are contemplating addition of a teaching component) may also include a dossier with their P&T materials.

According to Faculty Policy, a teaching statement satisfies the minimum requirements for the teaching dossier. The teaching statement should describe the professor’s philosophy or approach to teaching, and describe any special circumstances associated with his or her teaching efforts that would help the Department Committee to evaluate teaching performance. Faculty Policy also acknowledges that the faculty member may wish to include other materials such as examples of key outcomes of teaching that help characterize his or her teaching endeavours, descriptions of steps taken to evaluate and improve teaching, awards, publications and consultations.

The following framework for the Food Science Teaching Dossier was derived from University of Guelph and Canadian Association of University Teachers documents concerning teaching dossier development and evaluation. This framework should be considered as a guideline and not a rigid template. In practical consideration of both the faculty member’s desire to present all relevant information and the P&T committee’s workload, the core of the dossier should normally not exceed 5 pages. Additional pages of teaching outcomes may be

appended.

I. Teaching Statement. Comments by the faculty member on his or her teaching philosophy, goals and recent outcomes

II. Outcomes of Teaching - what your students accomplished

1. examples of student essays or other creative work
2. publications by students on course-related work
3. student scores on standardized or entry-exit tests
4. undergraduate research projects supervised
5. graduate theses supervised
6. documentation of the effect of the professor's courses or influence on student career choice
7. evidence of help provided to colleagues on teaching improvement

III. Descriptive material on current teaching practices

1. list of print and non-print course materials prepared for students with key examples appended
2. information on professor's availability to students
3. examples of innovative teaching materials
4. steps taken to emphasize interrelatedness, relevance, international implications of the course content

IV. Scholarship and reflection on teaching

1. list of peer-reviewed and other publications associated with teaching
2. teaching workshops or seminars presented or organized
3. instructional innovations attempted and their effectiveness
4. revision or development of educational materials
5. workshops attended and how information was subsequently used
6. participation in curriculum development
7. use of Teaching Support Services or other faculty resources
5. 8. association with societies concerned with the improvement of teaching and learning

V. Recognition of expertise

1. awards received
2. peer consultations conducted
3. requests for other teaching consultations
4. invitations to instruct for outside agencies

Appendix B. Service to Society Dossier

Food Science faculty members whose service to society responsibility represents a significant component of their appointment will develop and submit to the Department Tenure and Promotion Committee with their P&T materials a service to society dossier analogous to the teaching dossier mandated by Faculty Policy (Appendix A). Through the dossier, faculty members can describe the context within which they provide service to society, as well as list goals, methods and accomplishments. Like the teaching dossier, this service to society dossier should also serve as a tool faculty can use to reflect on their current service to society, and develop and describe strategies for self-improvement.

The following framework for the dossier was derived in part from the 1997 document "Criteria for Evaluation of Faculty (Choosing a Career Path in Extension)", submitted as recommendations to OAC Dean's Council by a committee chaired by Gordon A. Surgeoner with members Terry Daynard, John Gibson, Rick Moccia and Rick Upfold. This framework should be considered as a guideline and not a rigid template. In practical consideration of both the faculty member's desire to present all relevant information and the P&T committee's workload, the dossier should normally not exceed 5 pages.

I. Comments by the faculty member on his or her service to society philosophy, aspirations, recent outcomes and the nature of the industries served

II. Demonstrated ability to meet clientele needs

- A. Evidence of overall program impact
 - 1. data or reports that demonstrate positive changes in clientele activities
- B. Training courses provided for professional personnel
 - 1. information such as how many, what type, how many clients reached, participant evaluation summary
- C. Technical presentations (list whether invited)
 - 1. number of presentations, number of clients reached
 - 2. feedback from clientele
- D. Consultations with agencies, organizations and businesses (one-on-one)
 - 1. number and time spent both in-province and out-of-province
 - 2. feedback from agencies, organizations and businesses

III. Demonstrated ability to interpret research and new developments in the discipline

- A. Scholarly and technical publications (reporting new outreach approaches or interpretations of research developments) in print and/or accepted. Indicate whether publication was refereed or non-refereed.
- B. Other educational tools for providing interpretation of new research developments. Examples include training manuals, slide tapes, video tapes,

audio tapes, newsletters, brochures, bulletins and computer programs. Indicate the intended audience: special group, lay public, a province-wide, national or international.

C. Papers presented at scholarly conferences and/or published in conference proceedings. Indicate whether paper was refereed or non-refereed.

D. Media coverage and use of the media

1. Indicate what use has been made of the media to disseminate information and/or educational programs. Indicate whether coverage was local, province-wide, national or international.

IV. Displays leadership and innovation in the application of the discipline

A. Creative programs developed

1. using the following format, describe each creative program developed:
 - a. name of program
 - b. identify problem/need
 - c. list objectives
 - d. describe the methods and processes used to deliver the program
 - e. discuss implications and/or contributions of the program to clientele, future programs, and to the discipline
 - f. document program impact

B. Collaborative/interdisciplinary networking efforts

1. Describe each significant networking activity:
 - a. identify the activity/program
 - b. list the objectives
 - c. provide details on the activity, the collaborators, and your role
 - d. discuss the implications and/or contributions of the activity to clientele, future programs, and to the disciplines involved
 - e. document program impact

C. Funding

1. List all grant/fellowship proposals written and whether they were successful. Include dollar amount.
2. List all contracts awarded and indicate dollar amount.
3. Explain your role in developing each proposal and in delivering the proposed program

D. Major committee assignments

1. List each committee external to the university. Include the year, role and purpose of the committee.

E. Administrative Assignments

1. List any administrative assignment including year(s), duties and scope (local, provincial, national, international)
2. Describe your accomplishments in this administrative assignment.

V. Recognition and development of expertise in the discipline

A. Recognition and awards. List recognition and awards related to the profession which has been awarded for a specific period of time. Specify whether they are university, provincial, national or international awards and provide a one or two

sentence description of the recognition or award.

B. Professional development. List professional development activities and note how those activities have been integrated into extension practice. Include credit courses, professional/technical meetings, faculty improvement leave, international study opportunities; faculty exchanges, etc.

C. Solicited letters of recognition. A high level of expertise in the discipline may be documented through letters solicited from peers or experts. Letters will be solicited by the Chair of the department when the faculty member is seeking promotion to full professor, and may be solicited when the faculty member is seeking tenure or promotion to associate professor. The number of peer letters and method of solicitation will vary from discipline to discipline. Where specific guidelines are not present, three letters are suggested. Those asked to write peer letters will be asked to cite specific evidence of the candidate's expertise related to each of the following points and to compare the candidates with others in the field.

3. possesses a high degree of originality, imagination, and creativity
4. possesses a strong technical competence
5. has been providing significant and important contributions in their chosen area of expertise
6. is among the leaders in providing service to society when compared to others in the same field at a similar career stage
7. prepares publications which are useful to clientele and other professionals
8. would be welcomed on the tenured faculty of other outstanding schools with that specialty
9. will likely remain active and up-to-date as evidenced by involvement in professional development activities.

VI. Membership and activity in appropriate technical and professional societies

A. List memberships and positions in appropriate provincial, national and international technical and professional societies.