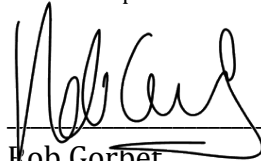University of Waterloo / Faculty of Environment
**Department of Knowledge Integration**
**Faculty Performance Evaluation Guidelines (Addendum)**

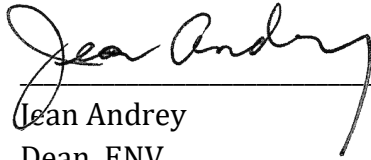| Revision | KI Approval | Dean's Approval | Effective Date |
|---|---|---|---|
| Original drafted | faculty e-vote Dec 2 2014 | endorsed Dec 17 2014 | January 1 2015 |
| Revisions to address 2016 changes to MOA | faculty e-vote Jan 27 2017 | approved Jan 29 2017* | January 1 2017 |
| -no changes- | Faculty e-vote Sep 26 2018 | | |
| -no changes- | Faculty e-vote Oct. 14, 2020 | | |

\* because of late MOA changes in 2016, one-time campus-wide direction and approval was given by the Provost for
units to update their addenda by Jan 31 2017 for the 2017 assessment year

_____          Oct 15, 2020_____
Rob Gorbet                                                  Date
Chair, KI


_____          _October 15, 2020_____
Jean Andrey                                                 Date
Dean, ENV


## 1. Introduction

The following Faculty Performance Evaluation (FPE) guidelines are intended to supplement existing policies and guidelines around FPE for faculty members in the Department of Knowledge Integration (KI).  These policies include: Policy 77[1], the Memorandum of Agreement (MOA)[2] between the University and the Faculty Association (FAUW), and the Faculty of Environment Performance Review Regulations  (PRR)[3].

The purpose of this document is to provide additional guidance in assessing the academic performance of KI faculty members in each assessment year, in the areas of teaching, scholarship, and service.  This review is an important process in providing ongoing feedback to faculty members regarding their performance, as well as for establishing a faculty member's annual selective salary increase (as described in the MOA, Section 13.3).

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[1] https://uwaterloo.ca/secretariat/policies-procedures-guidelines/policy-77

[2] https://uwaterloo.ca/secretariat/documents-potential-interest/memorandum-agreement-uw-fauw

[3] https://uwaterloo.ca/environment/faculty-staff/policies-procedures/performance-review-regulations-and-procedures

It is especially important for pre-tenure faculty members, as the outcome of all FPEs conducted prior to tenure will be included in the faculty member's tenure package.  In addition, this document should be used to help guide the process for reappointment, tenure, and promotion for KI faculty members.

These guidelines are subject to review and amendment biennially, with the changes approved by: (i) a majority vote of members of the Department, and (ii) the Faculty Dean no later than 15 October in the year before the evaluation calendar year(s) to which the changes would apply (MOA 13.5.1b).  Faculty members are encouraged to provide comments or offer suggestions for changes to these guidelines throughout the year, preferably by written communication to the current Chair of KI.

## 2.  Context

The Faculty of Environment is highly interdisciplinary, housing faculty with a wide range of disciplinary backgrounds, and is therefore used to assessing a broad range of scholarship within the context of its Guidelines.   However, KI faculty appointments differ from those of the broader ENV faculty in an important way.  While the majority of faculty in ENV are brought together to engage in some way with environmental issues, it is imperative for the KI mission that our faculty continue to contribute to, and engage closely with, their original disciplines and areas of specialization, which may not be limited to environmental issues.  For this reason, all KI faculty are cross-appointed to a "research home" that is aligned with their disciplinary background and is their primary source of graduate students, graduate teaching, and home to their research dissemination.  Importantly, many of these cross-appointments are to units in other Faculties on campus.  While faculty assessment guidelines across campus aim to implement a common goal of encouraging and rewarding high-level teaching, research, and scholarship, the specifics vary from Faculty to Faculty and unit to unit.  As a result, it may sometimes be most appropriate to assess KI faculty members whose cross-appointments are outside of ENV, by standards that may not always align with those of ENV.

Given that KI houses faculty members from across the disciplines, and emphasizes interdisciplinary teaching and scholarship, the measures by which faculty are assessed will vary.  For example, expectations for the nature and quantity of each faculty member's publications, grants, and graduate student supervision may be different depending on their academic discipline.  Faculty members can expect consideration according to their own disciplinary standards for such work, while keeping in mind that some expectations, such as service to the department, will be the same for all faculty.  Faculty members should fill out their FPE report (FPER) with these disciplinary differences in mind.  Note that some KI

Faculty members have written Memoranda of Understanding (MOU) that formalize this expectation of assessment; these should be consulted where they exist.


### 3. Faculty Performance Evaluation

The small size of KI precludes the possibility of creating a Performance Evaluation Committee (PEC) for the purposes of performance evaluation, and given the unique nature of our program there is no other department that would provide an obvious fit in terms of forming a multi-unit PEC. Thus, until such time as the number of tenured faculty members in KI significantly increases, or the faculty members vote by majority to form a multi-unit PEC, the Chair of KI will conduct annual performance evaluations. Normally, the Chair will be expected to consult with other UW faculty members in conducting his or her assessment, particularly the Chair (or PEC) of the "research home" (as outlined below, as well as in some faculty member's individual MOUs). This is in the spirit of the ENV PRR, which implies that assessment should be done by those "in the best position to understand the norms and expectations pertinent to their faculty members."

As articulated in MOA Section 13.5.2a, performance evaluations shall occur on an annual basis for Members holding probationary or definite-term appointments, and on a biennial basis in odd numbered years for Members holding tenured or continuing appointments (e.g., evaluation in winter 2017 of performance in 2015 & 2016).

Each faculty member will receive a rating in 0.25 increments on a scale of 0.0 to 2.0, for each of the three areas of teaching, scholarship, and service, as specified in Article 13 of the MOA:

| | |
|---|---|
| 2.0 | Outstanding |
| 1.75 | Excellent |
| 1.5 | Very Good |
| 1.25 | Good |
| 1.0 | Satisfactory |
| 0.75 | Needs Some Improvement |
| 0.5 | Needs Significant Improvement |
| 0.25 | Needs Major Improvement |
| 0.0 | Unsatisfactory |

Normally, the weightings of the three areas will be as follows for tenure-track and tenured faculty members: teaching = 40%, scholarship = 40%, and service = 20%. The weightings for definite term lecturers will normally be: teaching = 80%, scholarship = 0%, and service

= 20%. These weightings may be altered for faculty members who carry heavy administrative duties that may impede teaching and/or scholarship. Normally, the altered weightings must be agreed to in advance of the start of the calendar year to which they are meant to apply, and be in place for a period of two to five years, renewable (MOA Section 13.5.5c).

Performance assessments will take into consideration any leaves that the faculty member may have taken during the assessment period, as well as the rank of the faculty member, with expectations varying accordingly (e.g., Assistant Professors will not be expected to do as much service as Associate Professors, but when they do their scores will reflect that).

The Chair of KI should seek a written qualitative and quantitative assessment of the faculty member's work from the Chair of the cross-appointed department. This assessment will carry a substantial weight in the Departments' review of the member's scholarship, and in any discussion of adjusting a faculty member's score at the Faculty level. The written assessment should be added to the faculty member's Departmental and Faculty files, and included as part of the FPE, though the ultimate responsibility for the assessment rests with the Chair of KI. In some cases, the current Chair's area of expertise may be suitable for assessing a particular faculty member; in such a case, the faculty member has the option of waiving external assessment of his or her scholarship. If possible, this should be agreed to in advance of the start of the calendar year for which assessment will occur and be specified in writing.

The typical process for annual review shall proceed as follows: faculty members should submit their FPER to the Chair of KI in early January (or sooner, if necessary, taking into account the deadlines for any departments that need to be consulted), at which point the Chair of KI will send a copy to the Chair of the department to which the faculty member is cross-appointed, if applicable, requesting a written report on the faculty member's scholarship. On receipt of this written report, the Chair of KI will prepare an assessment of the faculty member, including proposed ratings. To ensure that there are no inaccuracies and that nothing significant is omitted, the Chair will then provide the faculty member with i) the draft assessment, ii) the written scholarship report, and iii) any suggestions for clarification of the FPER before it is sent to the Faculty level. This will be done with sufficient time to ensure that should a faculty member wish to meet with the Chair to discuss their evaluation, they can do so within the timeframe of the evaluation process. The Chair's assessment should comment on and provide guidance with respect to progress towards tenure for any pre-tenure faculty members.

As with other Department Chairs, the Chair of KI is typically evaluated by his or her Dean (in this case, the Dean of the Faculty of Environment). Should the KI Chair's scholarship

have norms that differ from those in the Faculty of Environment, the Dean should consult with a Dean or Department Chair from an appropriate Faculty in preparing the evaluation of scholarship (normally the one to which the faculty member is cross-appointed). As is the case with other KI faculty members, the written report of such consultation should be included in the merit and promotion files of the faculty member.

## 4. Promotion and Tenure

Given the small size of KI, it is not possible to create a Department Tenure and Promotion Committee (DTPC) solely from members of our unit. Thus, the Dean shall make other arrangements for the composition of the DTPC in consultation with the Chair of KI (c.f., Policy 77, Section 5), and be guided by this document.  The composition of specific DTPCs will need the written approval of the VPAP, as specified in Policy 77.  In accordance with that policy, which stipulates that, "The DTPC shall be chaired by the department Chair and shall include four to six tenured faculty members elected by the tenured and probationary faculty of the department," we recommend that the Chair of KI serve as Chair of the DTPC, along with an additional four to six tenured faculty members.  Normally, this would include all tenured faculty members in KI, plus at least one tenured faculty member from the candidate's department(s) of cross appointment (the Chair, or someone appointed by the Chair).  If necessary, the DTPC shall then include up to two additional tenured faculty members from the faculty member's department(s) of cross appointment in order to reach a minimum of four faculty members in addition to the Chair.  Should the DTPC still not consist of a Chair plus at least four members at this point, the candidate will suggest at least three faculty members from the Faculty of Environment to fill the remaining spot and the Dean will choose the final member from that list in consultation with the Chair of KI.  To the extent possible, at least half of the committee should consist of full professors and both genders should be represented unless the candidate would accept a different composition in light of other relevant considerations (such as the committee members' disciplinary expertise).

The tenure and promotion procedures at UW specify that the Dean of a candidate's Faculty shall send a letter soliciting comments from external referees (see Section 6 of Policy 77). Because the nuances of disciplinary faculty working in interdisciplinary contexts may not be obvious to either disciplinary peers or other-disciplinary experts, the Dean's letter should explicitly describe the nature and context of the KI faculty member's appointment and expectations for evaluation of their scholarship.  A copy of this letter should also be included in their Tenure & Promotion file so as to provide context to the local committees.

Written assessments from cross-appointed departments will be included in faculty members' Departmental and Faculty files.  Throughout the Tenure & Promotion process,

these should be made available in cases where there is disagreement around the assessment of a faculty member's scholarship.

## 5.  Assessment of Teaching

**5.1** In addition to course preparation and time spent in class, teaching includes holding office hours, providing feedback on student work, guest lecturing for other UW courses, and supervising graduate and undergraduate students as well as training RAs and TAs. Faculty members are expected to teach a normal course load of four courses per year (typically, two in the Fall term and two in the Winter term), unless course releases have been approved by the Chair of KI (e.g., for administrative purposes or sabbatical leave).  In particular, the positions of Chair and Associate Chair Undergrad each come with one course release per year of service, to be taken annually in each year of service, if possible.

Quality of teaching should be ascertained from a variety of sources (as stipulated in Policy 77 and the ENV PRR).  In addition to student evaluations, the following factors are examples of what will be considered under teaching:

- Participation in teaching workshops (e.g., CTE courses)
- Time spent on course improvement (e.g., soliciting peer feedback on course syllabi, materials, or assignments; applying innovative or creative teaching methods)
- Time spent above and beyond the norm to meet with students, provide feedback on their work, etc. (e.g., holding a significant number of extra office hours)
- Working with students on out-of-class academic projects (e.g., independent study)
- Evidence of quality of supervision (e.g., student publications, offers of employment, student awards that at least partly result from work done with the supervisor)

It is up to each faculty member to provide this additional evidence of teaching quality, keeping in mind that much of the evidence will be qualitative in nature and thus will need to be *explained* in the annual performance review form.

**5.2** Student supervision also falls under teaching, with the exception of direct scholarly output of such supervision (e.g., co-authored papers), which shall be considered under scholarship.  Although KI doesn't yet have a graduate program, faculty members are expected to engage in student supervision by supervising senior honors theses and/or supervising graduate students in other departments, normally the one(s) to which the faculty member is cross appointed.  (Note: We are sensitive to the fact that it may be more difficult for KI members to identify potential graduate students with whom they can work given that they're not embedded in that department, and such difficulties will be taken into consideration, especially for relatively new or junior faculty.)  Once KI has a graduate

program, faculty will be expected to contribute to the supervision of graduate students in KI. In that case, supervisory load expectations will be adjusted accordingly, though faculty will continue to receive full credit for supervising students in other academic units.

In a diverse program like KI, it is important to note that student supervision may vary quite a bit for faculty members, largely owing to differences in disciplinary norms (e.g., in some disciplines, it is customary to obtain external funding for graduate students or co-author articles with them, while in others it is not). The number of students a faculty member is expected to supervise also varies. Expectations for KI faculty members should be in line with the norms of the department that is most closely aligned with the faculty member's discipline (normally, the department to which he or she is cross appointed). While the onus is on the faculty member to supply documentation describing this context, in most cases the Chair of the cross-appointed department should also be able to do so.

**5.3** Finally, given KI's commitment to providing a cohesive curriculum that builds on and reinforces certain concepts and skills (e.g., those related to interdisciplinary collaboration), faculty members are encouraged to do what they can to help to achieve this outcome. This may include, for example, speaking with other KI faculty about courses, participating in curriculum mapping exercises, etc.

## 6. Assessment of Scholarship

**6.1** Scholarship shall be assessed on the total evidence from a window of two years, including for definite-term and probationary faculty who are assessed annually (MOA Section 13.5.2b).

Given the broad diversity of scholars in KI, we will not provide specific guidelines for scholarship, except to say that quality will be valued over quantity. Instead, the scholarship of each faculty member should be assessed according to the norms of his or her discipline(s). Typically, the Chair of KI should consult with the Chair of the department(s) to which the faculty member is cross appointed (as specified in his or her individual MOU, if applicable), unless the current Chair of KI shares a disciplinary background with the faculty member in question and has the necessary expertise to assess the faculty member's scholarship. In cases where the department(s) to which the faculty member is cross appointed has a set of departmental guidelines that address the evaluation of scholarship, this document should be consulted for the portion of scholarship that the faculty member carried out within that discipline. This document should also be part of the faculty member's file for Tenure and Promotion. Furthermore, in cases where the faculty member engages in scholarship that falls outside the scope of the discipline represented by the department to which he or she is cross appointed, the Chair of KI shall consult with another

UW faculty member who has appropriate expertise in that area in order to properly assess the work.  The onus is on the faculty member to notify the Chair if such consultation is deemed necessary.

Assessment of scholarship will be based on a wide range of outputs, with emphasis placed on refereed scholarly publications and designs.  What counts as refereed will depend on the disciplinary norms that are most closely aligned with the venue of dissemination, and should be specified in the faculty member's annual performance report should those norms differ from the ones specified in the ENV PRR.  In addition to scholarly output disseminated to academic audiences (including research on teaching and learning), more general knowledge mobilization activities will also be considered if they're used to disseminate the faculty member's scholarly research.  Examples might include research-based articles in mass media or the development of multimedia to disseminate research to a broader audience.  In such cases, the quality of the work and the venue will be considered.  While scholarly work disseminated outside the usual peer reviewed venues is valued, the onus is on the faculty member to provide evidence of its quality, impact, and relevance.

**6.2.** Grants will also be considered under scholarship, where the expectations around the number and size of grants will depend on the norms of the faculty member's most closely aligned discipline (or the discipline most closely aligned with the grant proposal).  In recognition of the collaborative nature of research, and the trust implicit in successful collaboration, the relevant measure of the individual importance of a jointly held research grant should not be the portion over which the faculty member has signing authority, but the portion of the grant which is directly relevant to their research.  We recognize that these portions may naturally add up to more than 100%, since the expectation of collaboration is that all researchers benefit from at least some part of the research.  For grants submitted *during* the evaluation period, but still under review, the relative measure of individual importance of a joint grant proposal should be evaluated based on intellectual, authorship, and organizational contributions, rather than relevant proportion of funding.

**6.3.** Since KI emphasizes interdisciplinary collaboration, faculty members whose work is in line with disciplines in which scholars traditionally work solo (e.g., publish single-authored papers) will be encouraged, though not expected, to engage in more collaborative work.  For pre-tenure faculty, this should be made explicit to external referees and tenure & promotion committees so that they are not penalized for departing from the norms of their discipline.

**6.4.** Faculty members are encouraged to document other forms of scholarship (e.g., facilitation of student publication), as stated in the ENV PRR, supported by clear evidence of impact.

**6.5.** Whether or not a faculty member shall include works in progress (e.g., manuscripts in preparation for submission to a professional journal) depends on whether doing so is the norm in her or his discipline(s) (which can be determined by the norms of the most closely related department(s)).  In any case, it is a good idea for pre-tenure faculty to include such work, making clear that the work is still in progress, as it will provide context for his or her scholarship.  Note that this is one area where the KI FPE guidelines differ from the ENV guidelines, and is reflective of the practice in some Faculties where KI faculty hold cross-appointments (e.g., ARTS).

## 7.  Assessment of Service

**7.1.** As with any department, internal service is an essential duty of all faculty members.  Given the small size of KI, service to the department is particularly important and will be expected of all faculty members, especially those at the rank of Associate and Full Professor.  Such service may include holding an administrative appointment, serving on a hiring committee, helping to develop programs or curricula for KI (e.g., a Masters program in Knowledge Integration), and other such work.  Next to the Chair, the Associate Chair Undergrad position is the most substantive administrative role in KI.  Weightings for service can be adjusted when significant administrative duties are undertaken, and should be agreed to in advance of the start of the year to which such weighting adjustments apply (MOA 13.5.5).

Certain activities are a normal part of a faculty member's duties, such as attending department meetings, writing letters of recommendation, and offering advice to students.  However, faculty members who do an exceptionally high amount of any of these should make note of it in their annual performance report.  Good citizenship is also expected and valued, and will be taken into consideration in the assessment of service.  This may include, but is not limited to, mentoring new faculty, being available to meet with students, assisting other faculty with course development and improvement, helping with recruitment, and regular attendance at KI seminars and other academic functions.

**7.2.** Service outside the department is also important.  This may take the form of contributing to the Faculty of Environment or to the University by serving on committees (e.g., Faculty Association Board of Directors) or as a faculty advisor to campus organizations, as well as contributing to the faculty member's profession through conference organizing, refereeing for journals, etc.

Until such time as KI develops its own guidelines for the assessment of extra-departmental service, we encourage each faculty member to consult the guidelines of any department(s) to which they're cross appointed to determine how external service is evaluated in that

unit. However, we also wish to note that given KI's small size, faculty members in KI may end up fulfilling a higher proportion of their service obligations to the department than to external communities, compared with faculty in other departments, and should not be penalized for doing so.

The quality of service will be taken into consideration, as well as the time devoted to each service activity.  So, for example, membership on several relatively inactive committees may not result in as high of a score as membership on one very time-intensive and high-impact committee.  Faculty members are expected to document the time spent on these activities to the extent possible and include these time estimates in their annual merit report.  Letters from committee chairs documenting exceptional contribution are useful and welcome in the merit process.

## 8.  Conclusion

Although faculty members are assessed in each of three separate areas of teaching, scholarship, and service, we recognize that performance in one category may bear on performance in another.  Thus, we encourage faculty members to point out such cases in their annual performance report (e.g., although serving on a curriculum committee normally counts as service, a faculty member may note this work in the teaching section as further evidence of his or her commitment to quality teaching).

Finally, given the broad disciplinary differences among faculty members in KI, each faculty member should clearly and concisely explain any disciplinary norms that are relevant to the assessment of his or her performance. This is especially important for those whose work falls outside the scope of the range of scholarship done in the Faculty of Environment.