

## FACULTY OF SCIENCE

### Promotion Guidelines

(adopted 06 December 2019)

#### **I. PREAMBLE**

This document establishes the criteria, weights and procedures for promotion, as called for in the Collective Agreement. Its purpose is to guide the work of promotion committees towards making decisions which are fair and reasonably uniform across the Faculty.

This document replaces earlier ones on promotion in the Faculty of Science. In accordance with article 20.A.1.4 of the 2017-2021 Collective Agreement, applicants for promotion may choose to have their case considered according to the previous criteria for a period of five years after approval of these new ones.

Applicants *must* notify the Dean in writing by May 15 of their intent to apply, with the complete application package due by July 15. They may withdraw their application for promotion at any time prior to its going to the Board of Governors.

Positive promotion recommendations are based on a record of achievement over a period of time. Faculty members are encouraged to seek the advice of their Department Head each year on their progress towards meeting the standards for promotion.

#### **II. DEFINITIONS AND ASSESSMENT**

The Collective Agreement, in article 20.A.1.2, lists some “*academic attributes to be considered in determining the criteria to be used in assessing the suitability of a faculty member for promotion*”. Those items of primary weight in determining the suitability for promotion in the Faculty of Science are given below. This is not meant to exclude any additional evidence provided by the applicant that is consistent with the Collective Agreement.

##### **1. Teaching**

Teaching in the Faculty of Science occurs inside and outside classrooms and laboratories. It includes undergraduate and graduate courses, seminars, distance education, project and thesis supervision, lectures, tutorials, setting and grading of assignments, curriculum development, teaching laboratories, and consultations.

Performance in teaching shall be assessed on the basis of contributions to the teaching of science, as supported by items such as the following:

- Senate-approved evaluations by students may be provided;
- evaluation by the Department Head of the applicant’s teaching effectiveness, including Senate approved student evaluations, taking into consideration the limitations inherent in such evaluations;
- assessment by knowledgeable colleagues;
- assessment by colleagues of seminar and colloquia presentations;
- evidence of design of new courses;
- evidence of innovative courses or course delivery;

- samples of lecture notes, laboratory manuals, examinations and other relevant course materials;
- published teaching materials, such as notes or software;
- published textbooks;
- written comments by students or former students, but only when the original is signed by the student or is otherwise verifiable as coming from the author;
- evidence of effective graduate student teaching, both in formal courses, and informally;
- evidence of effective graduate student research supervision;
- evidence of effective undergraduate project and/or thesis supervision;
- evidence of teaching professional development;
- evidence of effective laboratory supervision;
- evidence of effective pedagogy development.

## **2. Research**

Performance of research shall be assessed on the basis of contributions to science.

Independently-assessed work, normally through the scientific refereeing process, will be given the highest weighting. Assessment will be supported by items such as:

- refereed publications, with consideration of journal stature;
- refereed conference proceedings, with consideration of proceedings stature;
- extracts from citation indices, interpreted in relation to such things as research area, journal stature and authorship;
- evidence of efforts to apply for research funding and of success in obtaining research funding appropriate for the discipline and stage in career;
- reviewed research monographs;
- manuscripts which have been submitted or posted on a recognized preprint archive but not yet accepted may be considered, but given less weight than published or accepted papers;
- invitations to deliver scholarly talks, or major addresses to one's peers at other institutions or national and international conferences;
- presentations at professional meetings and conferences;
- patents and patent applications;
- information, including letters, from knowledgeable colleagues of the significance of the applicant's published work;
- other forms of peer recognition;
- effective graduate student thesis research supervision;
- effective undergraduate student, graduate student, postdoctoral fellow and technician research supervision at this and other universities or institutions;
- reviewed, advanced textbooks which contain substantial original work, and/or an original synthesis of a large body of research;
- books, monographs or book chapters at a senior undergraduate or graduate level assessed in critical reviews by experts in the field *may* be evidence of research activity;

- other creations that could be considered as resulting from scholarly work, such as computer software or inventions;
- information on scholarly or technical reports to private or governmental agencies, but where evidence of peer review is provided;
- when part of a large research group, evidence of the applicant's role in the group should be provided;
- research in collaboration with industry, government or other outside bodies must be evaluated on the basis of its contribution to science and objectively judged as to its novelty and scholarly standard, as outlined above. Evidence must be presented that describes at least in general terms the form and the value of the contribution to the industry. Such evidence may include items such as letters of commendation or support from the partners, patents, patent applications, etc.

### **3. Service**

Performance in service shall be assessed on the basis of (i) service to the department, Faculty or University (including service to the University of Manitoba Faculty Association), (ii) service to the general scientific community, and (iii) those services to the community at large that make use of the faculty member's knowledge and skills as a scientist.

These service activities can be considered of two types: those that are normally expected of any faculty member, in assisting with the administration of the department, Faculty or University (primarily (i), above); and those that faculty members carry out, largely at their own initiative, which go beyond these "normal" administrative responsibilities (primarily (ii) and (iii)).

Assessment of service contributions will be supported by items such as:

- participation in administrative activities, as requested by the Head or other administrative officers;
- service to groups outside the university, such as disciplinary or professional organizations, conferences, journals, granting councils and general outreach to the community at large.

Evidence should be provided to enable the committee to assess the effectiveness of the applicant's service activity. This evidence may include:

- letters from chairs or members of committees;
- annual performance reports
- letters from individuals in the community served by the applicant;
- minutes of meetings showing evidence of the applicant's effective service;
- reports, or extracts thereof, prepared by the applicant as part of his or her service to the committee or community organization.

### **III. INFORMATION TO BE ASSESSED**

The applicant will complete the promotion application form and submit it to the Dean's Office along with any supplementary information and letters or other evidence that supports the application. The complete application packages are to be submitted electronically in PDF format.

Department Heads will provide an evaluation of the applicant's teaching performance, including Senate-approved student evaluations.

Letters from students and staff will be solicited by the Dean. Letters of reference will be used only when signed by the authors or as otherwise verifiable as coming from the authors. These letters will be made available to the applicants in their entirety, save that the identifying letterhead and signature block will be removed. When letters are solicited, this procedure will be made clear to potential authors.

#### **IV. PROMOTION COMMITTEES**

1. The Dean shall appoint a Faculty of Science nucleus promotion committee comprising seven academic staff of faculty rank.
2. The Dean shall meet with the nucleus committee each year to review the members' role.
3. For each applicant for promotion, two members of the nucleus promotion committee shall be selected by the Dean to serve on the promotion committee. Three members of the applicant's department, at least one of which will be at or above the rank to which the applicant is applying whenever possible, shall be nominated and elected by the academic staff of faculty rank within the department, in accordance with procedures approved by Department Council. Departments are encouraged to consider diversity when electing committee members.
4. The Head shall be a non-voting member of the promotion committee. The role of the Head at the committee meetings is to provide factual information on the applicant, primarily in response to questions from committee members. After providing this information and responding to queries, the Heads will leave the meeting, after which the committee will deliberate further and vote.
5. Each promotion committee shall be chaired by an Associate Dean, appointed by the Dean. The Chair shall write the committee report, in consultation with the other members of the committee.
6. Gender parity will be sought on all promotion committees. Where gender parity is not feasible, there shall be at least one (1) member of each gender on each committee (Article 20.A.2.2).
7. Where the Head is an applicant for promotion, the Head will neither take part in the committee deliberations nor submit a recommendation to the Dean. The Dean will provide the assessment of the Head's teaching to the committee.
8. In circumstances where the above committee composition is not possible, the Dean, in consultation with the Head and the applicant, shall determine the committee's composition.
9. In the case of an applicant with a formal appointment split between units, each department will choose two members to serve on the promotion committee. The Heads of both departments will be non-voting members of the promotion committee.
10. Promotion committees shall vote by secret ballot.
11. All members of the committee are expected to exercise their independent judgment, and all have equal votes. The committee members who are external to the department have the additional responsibility of ensuring that criteria are uniformly applied Faculty-wide, while recognizing the diversity of the various departments of the Faculty of Science.
12. Promotion decisions will be based on evidence. Members of the promotion committee shall be provided with documentation appropriate to the assessment period, to enable the committee to assess the extent to which the criteria are met

13. The committee may request additional information from the applicant. Written requests shall be made by the Chair on behalf of the committee, describing the requested information. This request does not invoke Article 20.A.3 of the Collective Agreement.
14. If, following a vote, the committee cannot make a positive recommendation, then the provisions of Article 20.A.3 of the Collective Agreement are followed. The Chair of the committee shall so inform the applicant in writing, indicate the area(s) of concern that the committee will wish to discuss, and establish, in consultation with the applicant, the date for a subsequent meeting where the applicant shall be given the opportunity to speak to these concerns. A reasonable time will be allowed for the applicant to seek advice, solicit opinion and provide further documentation in order to prepare for such a meeting.
15. The committee shall then consider the new input, and hold a second and final vote.

## **V. RECOMMENDATIONS**

1. The committee's recommendation, with the reasons for it, is reported to the Dean, the Department Head and the applicant. The Department Head then makes a recommendation, with the reasons for it, to the Dean and delivers a copy to the applicant. The Dean then makes a recommendation, with the reasons for it, to the Vice-President (Academic), and accompanies it with the recommendations of the committee and the Head. A copy of the Dean's recommendation, with the reasons for it, is forwarded to the applicant. (See Articles 20.A.3.8 and 20.A.3.9 of the Collective Agreement)
2. In the case of a faculty member with a formal appointment split between units, the Head of the primary department will prepare the Department Head's recommendation in consultation with the Head of the secondary department.
3. Neither the Head's nor the Dean's reports are copied to the committee. However, if the recommendation of the Head or Dean is different from that of the committee, then they shall so advise the committee in writing. (See Article 20.A.3.11 of the Collective Agreement.)
4. Committee reports should address how experience and contributions achieved prior to the applicant's appointment at the University of Manitoba were considered.

## **VI. PROMOTION OF ACADEMIC STAFF MEMBERS**

Promotion procedures are described in Article 20 of the University of Manitoba - University of Manitoba Faculty Association Collective Agreement.

According to Article 20.A.3.1 of the Collective Agreement, "*the matter of promotion shall be discussed by the department head and the faculty member at the initiation of either*". The faculty member is also encouraged to consult with the Dean on the matter of promotion.

It is the responsibility of the applicants to provide the evidence that they, the committee, or the Dean, deem necessary to support the application.

### **1. Criteria for Promotion of Faculty Members**

Promotion is recognition of achievement that has been demonstrated over a period of time. The purpose of promotion in the Faculty of Science is to foster and reward excellence in all academic endeavors: teaching, research and service. The criteria are meant to be demanding, but achievable. To meet these criteria, the applicant shall provide evidence of a cumulative record of

academic performance and achievement that are appropriate to the rank being sought, and have demonstrated professional growth.

According to the Collective Agreement, Articles 20.A.1.1 and 20.A.1.2, promotions from rank to rank are to be based on the contribution that a faculty member has made to the discipline, the department, the faculty and the University while at the current rank, taking into account academic attributes and performance of assigned and other duties. Consideration is to be given to teaching, research and service.

In principle, promotion may be applied for at any time. In practice, applicants will normally require a minimum number of years in each rank to achieve and demonstrate the appropriate level of achievement. Normally, this shall be the time from the commencement of the appointment at the current professor or instructor rank at this University, or while occupying the current rank at another University. Assessment may include consideration of performance elsewhere, prior to coming to this University. The duties specifically assigned to the faculty member during the period under consideration must be taken into account in the application of the criteria and weightings.

Time frames included below are intended to guide promotion committees in their work. Mere length of service does not constitute grounds for promotion.

## **2. Normal Requirements**

### a) Promotion from Lecturer to Assistant Professor

Lecturers are appointed to term positions. They are “Faculty Members” according to the Collective Agreement and are eligible to be considered for promotion to the rank of Assistant Professor.

Individuals so promoted remain on term appointments. Further term appointments may be granted only if they will not automatically become probationary appointments pursuant to Article 19.C.5.6 of the Collective Agreement.

The criteria are the following;

- i. Ph.D. degree or equivalent academic achievement in the discipline.
- ii. Satisfactory performance in teaching, as measured by indicators such as those listed under teaching definitions in Section II. The Head’s evaluation is an essential requirement.
- iii. Evidence of research activity consistent with that expected of new appointments at the assistant professor level in the discipline.

### b) Promotion from Assistant Professor to Associate Professor

At the time of application for promotion to Associate Professor, an applicant shall normally have completed a minimum of five (5) years of service (in the sixth year of appointment) at the rank of Assistant Professor, or shall have an equivalent combination of service at the rank of Assistant Professor and other relevant professional experience. Previous experience at other recognized universities or research institutes may be considered. This consideration will take into account the assigned duties. An application before the applicant has completed five (5) years shall be considered and decided on its merits, with the proviso that promotion under such circumstances shall follow only upon demonstrated excellence in all of research, teaching and service, and a level of scholarship, reputation and impact appropriate to the rank of Associate Professor.

For promotion from Assistant to Associate Professor, the criteria to be met by the applicant, within the constraints of the resources made available by the University and the demands of the department, are:

- i. Satisfactory performance in teaching, as measured by indicators such as those listed under teaching definitions and assessment in Section II. Evidence of satisfactory teaching will also include:
  - evaluation by the Department Head;
  - assessment in writing by students and knowledgeable colleagues.
- ii. Satisfactory performance in research, as measured by indicators such as those listed under research definitions and assessment in Section II. Where appropriate for the applicant's research area, evidence of satisfactory research performance will also include:
  - an established independent research program, individual or collaborative, which goes beyond the work of the applicant's Ph.D.;
  - the impact, quality, originality, number and forum of research publications, comparable to national norms for the research field and the rank of the applicant;
  - a track record of research funding at a level which is appropriate for the discipline and rank, and sufficient to carry out research in the applicant's field;
  - the amount and quality of research in collaboration with industry, government or other outside body;
  - effective research supervision of undergraduate and graduate students, postdoctoral fellows, or technicians.
- iii. Satisfactory performance in service, as measured by indicators such as those listed under service definitions and assessment in Section II. Evidence of satisfactory service performance will also include:
  - participation in and service to departmental, university and academic or professional society activities.

Teaching and research shall normally carry equal weight, whereas the weighting of service shall be less than that of either teaching or research. When assessing the performance of applicants in meeting the individual criteria for teaching, research and service, the committee shall take into account these relative weightings. In cases where the applicant's assignment of duties differs from this norm, the Dean, in consultation with the applicant, shall provide the committee with the appropriate weightings to be used in assessing the applicant's performance.

Criteria for teaching and research are normally met separately. Truly outstanding performance in one of teaching or research can offset moderate, but not poor, performance in the other.

External letters of reference may be sought, if needed, to establish the extent to which the applicant's research has received recognition outside the University of Manitoba. If the committee wishes such letters, the Dean will solicit them on behalf of the committee. The applicant will be consulted regarding the referees to be contacted, and may register any reservations concerning their appropriateness, which will be duly considered. Other letters may also be provided by the applicant.

### c) Promotion from Associate Professor to Professor

Promotion to the rank of Professor recognizes a sustained high order of achievement in research and teaching, together with at least satisfactory performance in service. Achieving this rank is not guaranteed.

At the time of application for promotion to Professor, an applicant shall normally have completed at least six (6) years of service at the rank of Associate Professor, or shall have an equivalent combination of service at the rank of Associate Professor and other relevant professional experience. Previous experience at other recognized universities or research institutions may be considered. An application before the applicant has completed six (6) years shall be considered and decided on its merits, with the proviso that promotion under such circumstances shall follow only upon demonstrated excellence in all of research, teaching and service, at a level of scholarship, reputation and impact appropriate to the rank of Professor.

For promotion from Associate Professor to Professor, the criteria to be met by the applicant, within the constraints of the resources made available by the University and the demands of the department, are:

- i. Satisfactory performance of high quality teaching, as measured by the indicators such as those listed under teaching definitions and assessment in Section II. Evidence of satisfactory teaching will also include:
  - evaluation by the Department Head;
  - assessment in writing by students and knowledgeable colleagues;
  - pedagogy development.
- ii. Satisfactory performance in research, as measured by indicators such as those listed under research definitions and assessment in Section II. Where appropriate for the applicant's research area, evidence of research performance will also include:
  - the impact, quality, originality, number and forum of research publications, while in the current rank, comparable to national norms for the research field and the rank of the applicant;
  - creation of a body of research work comparable to national norms;
  - an established national or international reputation, as evidenced, for example, by publication in high quality international journals, by being invited to present plenary session or keynote talks at major national or international conferences, by being invited to serve on grant selection committees or research review boards, or similar signs of recognition;
  - a track record of research funding at a level which is appropriate for the discipline and sufficient to carry out research in the applicant's field;
  - the amount and quality of research in collaboration with industry, government or other outside body;
  - effective research supervision of undergraduate and graduate students, postdoctoral fellows, or technicians.
- iii. Satisfactory performance in service, as measured by indicators such as those listed under service definitions and assessment in Section II. Evidence of satisfactory service performance will also include:



- participation in and service to departmental, university and academic or professional society activities.

External and independent letters of reference must be sought, to establish the extent to which the applicant's research has received significant recognition nationally and internationally. These letters shall be solicited by the Dean following the "Protocol for Soliciting Letters of Reference for Promotion to Professor" in Section VI.3 of this document. Additional letters may be solicited by the applicant.

Teaching and research shall normally carry equal weight, whereas the weighting of service shall be less than that of either teaching or research. When assessing the performance of applicants in meeting the individual criteria for teaching, research and service, the committee shall take into account these relative weightings. In cases where the applicant's assignment of duties differs from this norm, the Dean, in consultation with the applicant, shall provide the committee with the appropriate weightings to be used in assessing the applicant's performance.

Criteria for teaching and research are normally to be met separately. Truly outstanding performance in one of teaching or research can offset moderate, but not poor, performance in the other. In exceptional cases, promotion to Professor could be justified by a long record of exceptional teaching and service, and moderate scholarship.

#### d) Promotion of Instructors

Instructors in the Faculty of Science normally have primary responsibility to contribute to the teaching function of the department, and to contribute to service. As a consequence, their performance in teaching and service shall normally be used as the primary criteria for promotion.

The weighting of service shall normally be less than that of teaching. When assessing the performance of applicants in meeting the individual criteria for teaching and service, the committee shall take into account these relative weightings. In cases where the applicant's assignment of duties differs from this norm, the Dean, in consultation with the applicant, shall provide the committee with the appropriate weightings to be used in assessing the applicant's performance.

- i. For promotion from Instructor I to Instructor II, the applicant must demonstrate satisfactory performance in teaching and service, as measured by the indicators listed under teaching and service definitions and assessment in Section II. The Head's evaluation and assessments in writing by students and knowledgeable colleagues are essential requirements.
- ii. For promotion from Instructor II to Senior Instructor, the applicant must demonstrate satisfactory performance in teaching and service, as measured by the indicators listed under teaching and service definitions and assessment in Section II. Leadership, innovation and creativity in the design of new courses, curriculum, course materials, and modes of delivery will be given considerable weight. The Head's evaluation and assessments in writing by students and knowledgeable colleagues are essential requirements.

At the time of application for promotion to Instructor II or Senior Instructor, an applicant shall normally have completed a minimum of five (5) years of service (in his or her sixth year of appointment) in his or her current rank, or shall have an equivalent combination of service at that rank and other relevant professional experience. Previous experience at other recognized

universities or institutions may be considered. An application before the applicant has completed five (5) years shall be considered and decided on its merits, with the proviso that promotion under such circumstances shall follow only upon demonstrated excellence in teaching and service, and contributions that are at a level appropriate to the new rank.

### **3. Protocol for Soliciting Letters of Reference for Promotion to Professor**

- a) The file of a Faculty member being considered for promotion to the rank of Professor shall normally contain at least five (5) external letters of reference from referees who will be asked for an assessment of the applicant's scientific work and reputation, and an opinion as to whether promotion to Professor is appropriate at this time.
- b) The letters will be solicited by the Dean; applicants will not contact the referees.
- c) Referees providing these letters shall:
  - o be competent and recognized scholars external to the University in the relevant discipline;
  - o have an international reputation for excellence in their field;
  - o not be the applicant's Ph.D. or post-doctoral studies advisor;
  - o not currently be collaborating with the applicant, nor have collaborated with him or her in the past six (6) years.
- d) The applicant shall include with his or her application a list of at least ten (10) potential referees who meet the criteria listed above.
- e) The promotion committee and the Dean will consider the applicant's list of proposed referees and may propose additional names. The applicant may register any reservations concerning the appropriateness of the proposed referees, which will be duly considered. The final list of referees will contain at least ten (10) names, eight (8) whom will be contacted.

## **VII. PROCEDURES**

1. Timetable (precise dates may differ from year to year):
  - o receipt in the Dean's Office of letter of intent to apply for promotion - May 15;
  - o receipt in the Dean's Office of names of elected committee members - June 1;
  - o receipt of complete application packages in the Dean's Office - July 15;
  - o receipt of internal comments on the applications - August 1;
  - o receipt of letters from external referees - November 1;
  - o submission of completed applications to the VP (Academic) Office - late January.
2. Memos containing a list of all applicants for promotion are sent to all Department Heads, the Senior Stick of Science and members of the applicant's department after May 15.
3. The list of applicants is also sent to all department offices and Senior Stick with a request that it be posted in obvious locations.
4. The Dean's Office prepares an electronic folder for each applicant containing the application, the Head's evaluation of teaching, solicited letters and any other relevant information. The folder will be placed on the secure shared drive for access by committee members.
5. Committee meetings will be scheduled by the Dean's Office.

6. Committee meetings are closed, and all deliberations are confidential. Normally, all committee members shall participate in all meetings, but electronic participation is allowed.
7. All documentation will be deleted from the shared drive at the end of deliberations.