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1. Purpose and Background

Yukon University (University) wishes to promote and support a culture of excellence in teaching and the principal duties of non-teaching faculty¹, scholarly activities, and service. Ideally, these dimensions of performance should be assessed through multiple methods.

The following Faculty Performance Review Framework (the Framework) is intended to:

- a) guide faculty through the review process
- b) align with the relevant sections of Yukon University's Collective Agreement with the Public Service Alliance of Canada.
- c) help Yukon University meet Campus Alberta Quality Council (CAQC) standards in employment arrangements for academic staff and assessment of teaching effectiveness; for further reference, relevant sections of Chapter 4 (Program Evaluation) of the CAQC Handbook are in Appendix A.

2. Theoretical Basis for Faculty Performance Review Framework

Several relevant psychological and leadership theories are the foundation for the main tenets of the Framework. These theories seek to understand and explain factors influencing human behaviour, motivation, and performance in different contexts. In addition, these theories propose different mechanisms through which these factors operate (e.g., inherent

¹ This document defines teaching and non-teaching faculty as presented in Yukon University's Senate's Terms of Reference (ToR). The language from the ToR is included in Appendix A.

growth tendencies, psychological needs, expectations, job characteristics, work environment factors, leadership style, and the developmental level of followers). They also offer insights into and guidance on improving performance and well-being. More information about contemporary psychological and leadership theories with relevant links is in Appendix C.

3. Processes

1. Annual Activity Report will include

- three themes for assessment: teaching or principal duty, service, and scholarly activity (see 3.2). The volume and types of activity cited in each theme will vary, especially between teaching and non-teaching faculty.
- brief narrative regarding service and scholarly activity².

Typically completed by June 30, but the reporting schedule may be based on staggered cycles at the discretion of the appropriate faculty council.

Reports are posted to an intranet folder, so activities can be shared among colleagues within a faculty, thereby allowing faculty to:

- set and reinforce norms
- highlight accomplishments
- demonstrate service: representation (quantity) and contribution (quality/impact)
- feature scholarship: productivity and influence/impact
- allow for recognition and celebration (e.g., nomination for Faculty Service and Scholarship Awards)
- allow immediate supervisor to confirm progress on reported activities.

² Sample activities for scholarly activities and service are highlighted in Appendices E and F.

2. Assessment of Teaching or Principal Duties of Non-Teaching Faculty³

Assessment of teaching or principal duties for non-teaching faculty is a self-directed process:

- Peer-assessment and feedback conducted in 3–5-year cycles (for reference, a sample peer review process for teaching faculty is provided in Appendix C). Non-teaching faculty may introduce peer review based on the context of their duties and opportunities for peer review processes.
- Teaching faculty will include student feedback garnered from Student Course Evaluations or Learning Experience Surveys; non-teaching faculty are invited to include relevant feedback from students on the quality of their work if their principal duties include significant interaction with students.⁴
- The creation of a professional dossier, that is, a collection of documents, developed and maintained on an on-going basis, reflecting the quality of the faculty member’s teaching or principal duties, service, and scholarly activity, which may contain but is not limited to any of the following:
 - compiled Annual Activity Reports; the number of reports to be included is at the faculty member’s discretion (e.g., reports from the previous 5 years)
 - summaries, in various media, of peer assessment and feedback
 - a curriculum vitae, including mention of awards/past recognition of excellence
 - any other documents the faculty member believes essential to tell a holistic story of the quality of their work.

3. Recognition of Excellence is a potential result of performance review. For example, the faculty performance process may result in:

- Faculty awards for excellence in teaching and other principal duties (e.g., recognizing innovation, decolonization, accessibility, leadership, etc.)
- Eligibility to sit on course and program review committees or other academic committees.

³ Sample activities to be considered for peer review, professional development, student feedback, service, and scholarly activity are included in the appendices.

⁴ Sample activities for student input for teaching and non-teaching faculty is included in Appendix E.

4. Problem Solving

Any questions arising from the content or communication of this Framework or disputes arising from a decision made with reference to it should be first reported to the dean of the faculty, who will endeavour to find a resolution with all stakeholders. If there is no resolution to a dispute, the matter should be reported to the Provost & Vice-President, Academic.

5. Forms

Annual Activity Report for Teaching Faculty template (to be developed)
 Annual Activity Report for non-Teaching Faculty template (to be developed)
 Peer Review of Teaching rubric (to be developed)
 Peer Review of Teaching rubric (to be developed)

6. Appendices

- A. Yukon University Senate Definition of Faculty in Senate Terms of Reference
- B. CAQC Teaching Excellence
- C. Links to Contemporary Theories informing Faculty Performance Review Framework
- D. Sample Peer Review of Teaching Process
- E. Sample Activities to Include for Reflection on Teaching Excellence
- F. Sample Activities for Reflection in Service Excellence
- G. Sample Activities for Reflection in Scholarly Activities

Document History

Include all updates here, including housekeeping changes, beginning with formal approval.

<i>Date</i>	<i>Update</i>
July-Oct 2019	Planning for faculty consultation with Institutional Research and Planning Office
Oct-Dec 2019	Consultation with faculty
Oct 2019-June 2021	Regular update meetings held with the Union President & Director of Employee Relations and Organizational Development

Jan-Apr 2020	Work on draft faculty performance review process with Transitional Faculty Council
May 2020	Review of the draft process by Senior Executive Committee – concerns were raised about the “pilot” nature of the draft process and the need for the process to include more accountability measures
Oct-Nov 2020	Input on the process from VPA & Provost, as well as members of the Senior Team
Feb 2021	Ratification of new Collective Agreement, including the requirement for faculty performance review process to include Senate-approved evaluation criteria
Apr-early May 2021	Re-drafting of the performance review process, with YukonU procedures template
Late May-June 2021	The new draft sent to the Union President, Director of HR & Senior Team for review and input
June 2021	Draft process submitted to Senate for review/approval of evaluation criteria
Fall 2021	Referral of issue of faculty performance evaluation to faculty councils
Jan 2022	Drafting of new processes by working groups of Applied Arts and Applied Science and Management faculty councils
Feb-Mar 2022	Reviews of draft procedures at AAFC and ASMFC
Mar-Apr 2022	Joint meetings of faculty council working groups
March 2023	Senate approval
February 6, 2024	Non-substantive changes to s.3 (grammar and language clarity) by University Secretariat

Appendix A: Yukon University Senate Definition of Faculty in Senate Terms of Reference

(4.2.) Eligibility to be a Faculty Senator:

a. Teaching faculty: Permanent employees with the job titles Instructor, Instructor/ Coordinator, Chairs, Department Heads of the academic departments (Culinary Arts, School of Trades, Academic Services), and anyone with a 0.5 workload or more assigned to teaching credit courses. Term employees with the job titles Instructor, Instructor Coordinator and Chairs, and anyone with a 0.5 workload or more assigned to teaching credit courses, whereas the term date must cover the full Senate term. Community faculty member requirements: people with the title Community Adult Education Coordinator or Instructor/ Coordinator who are currently teaching credit courses or who have taught credit courses in the last two years.

b. Professional counselors -professionally certified with primary duty to counsel students.

c. Research personnel -permanent and term, holding positions of research associate, research manager, research chair, research coordinator, research technician, research analyst, research post-doctoral fellow, research professional, senior research professional.

d. Librarians.

Appendix B: CAQC Teaching Excellence

The following excerpts are taken from the CAQC Handbook, Chapter 4 (Program Evaluation).

4.3.4.6 EMPLOYMENT ARRANGEMENTS FOR ACADEMIC STAFF

- The collective agreements, contracts, letters of appointment or similar documents pertaining to the employment of academic staff must clearly describe the terms and conditions of employment (including criteria and procedures for the granting of tenure, if applicable).
- An institution must have written policies governing criteria and procedures for appointment, employment conditions including employment equity, promotion, termination, and performance evaluation (including provision for student assessment of teaching). These policies must be distributed to all members.
- Performance assessment of academic staff will include some form of peer review.
- An institution must have a written description of roles and responsibilities of academic staff, and explicit written expectations of academic staff in the realms of teaching, scholarship and professional activity, and service. These documents must be distributed to all members.
- An institution should have a policy with respect to the ongoing professional development of academic staff throughout their careers.

4.3.4.7 TEACHING EFFECTIVENESS

- An institution should support, improve and reward the teaching and learning effectiveness of its academic staff. Recognizing the highly complex and contextualized nature of assessing teaching effectiveness from a quality perspective, CAQC recommends a number of general evidence-based guiding principles with respect to assessing teaching effectiveness:

1. Consistent with CAQC's core operating principles, the primary responsibility for program and institutional teaching effectiveness rests with degree granting institutions themselves.
2. The assessment of teaching effectiveness is a *component* of an institution's overall program quality.
3. Degree granting institutions will establish their own comprehensive, integrated approach to assessing teaching effectiveness that is relevant to their own institutional context.
4. Well designed and developed curriculum plans, including clearly articulated course and program learning outcomes, are the foundation of supporting teaching effectiveness.
5. The process of assessing teaching effectiveness should include multiple sources of evidence and be rigorously administered to foster confidence in the trustworthiness of assessment processes, of the results, and of how those results are used to *recognize* and *reward* the work of teaching.
6. Institutional and program-level educational development and support mechanisms are essential to supporting faculty in developing their teaching effectiveness.
7. Institutions should support individuals and committees who have responsibilities for interpreting teaching effectiveness data with evidenced-based resources to guide their work.
8. Institutions should *recognize* and *reward* excellence in teaching to profile the importance of teaching in learning.

Appendix C: Links to Contemporary Theories informing Faculty Performance Review Framework

- Self-Determination Theory
 - People are intrinsically motivated toward growth and development by three innate psychological needs: autonomy, competence, and relatedness.
 - Additional Reading: <https://www.verywellmind.com/what-is-self-determination-theory-2795387>.
- Social Learning Theory/Social Cognitive Theory
 - Learning is motivated by internal processes, and can occur from direct experience, vicarious experience, symbolic experience, and verbal instruction.
 - Self-efficacy, the belief in their ability to perform a specific task successfully, is central to learning and is shaped by prior experiences, behavioral models, persuasion from others, and assessment of current physical and emotional capabilities.
 - Additional Reading: <https://www.verywellmind.com/social-learning-theory-2795074>.
- Expectancy Theory
 - People are motivated to exert effort when they believe that they are capable of achieving adequate performance (expectancy; cf. self-efficacy), that this performance will lead to a reward (instrumentality), and that the degree to which the reward is desired (valence).
 - Additional Reading: <https://courses.lumenlearning.com/wm-introductiontobusiness/chapter/expectancy-theory/>.
- Job Characteristics Model
 - Jobs are satisfying to the degree that they induce 3 psychological states through 5 job characteristics:
 1. Meaningfulness
 - 1) Skill variety
 - 2) Task Identity
 - 3) Task significance
 2. Experience of responsibility
 - 4) Autonomy
 3. Knowledge of results

- 5) Feedback.
- Additional Reading: <https://courses.lumenlearning.com/wm-introductiontobusiness/chapter/job-design-and-job-characteristics-theory/>.
 - Job Demand-Control-Support-Resource model
 - High job demands cause strain, but this relationship is mitigated by individual control (autonomy), access to support, and adequate resources; high demand/low control jobs result in physical and mental health consequences.
 - Additional Reading: https://en.wikipedia.org/wiki/Job_demands-resources_model.
 - Path-goal model of leadership
 - A leader's job is to guide members of the organization toward satisfying their needs in ways that also satisfy the organization's requirements
 - Additional Reading: <https://courses.lumenlearning.com/wm-organizationalbehavior/chapter/leadership-styles/> .
 - Hersey and Blanchard's Situational Leadership Model
 - Appropriate leadership is determined by followers' readiness level and the job of leaders is to develop others into being self-led.
 - Additional Reading: <https://courses.lumenlearning.com/suny-principlesmanagement/chapter/situational-theories-of-leadership/>.
 - Transformational Leadership Theory
 - Leaders are more successful when they create a shared vision for change that supersedes individual interests to create motivation based on cooperation and achievement, which results in higher motivation, morale, and performance.
 - Additional Reading: <https://www.verywellmind.com/what-is-transformational-leadership-2795313>.

Appendix D: Sample Peer Review of Teaching Process

In line with YukonU's status as a teaching-focused postsecondary institution, faculty members are encouraged to see peer reviews of teaching as an integral part of their professional growth and potentially valuable additions to their teaching and learning dossiers. The following peer review process is one path that could be followed; however, the scope and specifics of peer reviews of teaching should be determined by the faculty members being reviewed and the peer review team, with advice and guidance from other faculty and the supervisor, as needed.

Teaching review committee structure

YukonU will provide all faculty members serving on review committees with training and resources on peer reviewing, and service on review committees will be acknowledged as a non-instructional duty on workload agreements.

Review committees should be comprised of at least two peer reviewers, chosen by the faculty member being reviewed and agreed to by the supervisor.

The review committee should include a peer who specializes in the same or a closely related academic discipline.

The second committee member need not be from the same or a closely related academic discipline but must be approved by the faculty member being reviewed.

At the request of the faculty member being reviewed, the review committee may include a faculty member and/or cultural knowledge holder from outside the University.

Conflict of interest guidelines should be respected in the selection of appropriate peer reviewers (for more information, see Yukon University's PO 4.0 - Conflict of Interest policy and procedures).

The review committee is responsible for

- conducting teaching observations.
- assessing teaching performance in relation to Senate-approved criteria; and

- providing formative advice and recommendations to the faculty member being reviewed.

Teaching observations

The faculty member being observed will choose which classes and/or online course platforms will be observed; it is strongly recommended that the review committee look at components of different kinds of courses (e.g., lower- and upper-level courses) to get a better sense of the faculty member's range and varying teaching approaches at different academic levels. Note: due to the sensitive nature of some course content, it should be recognized that not all courses will be suitable for peer observations.

The faculty member, in consultation with the supervisor, will set a maximum number of courses to be observed and determine the manner in which they would like to receive formative advice and recommendations from the peer reviewers.

In consultation with the supervisor, the faculty member will determine the timing of the observations and whether they should have a specific focus. In general, it is recommended that observations happen in the middle of a semester. All reviewers should observe the same class at the same time, whether they are delivered in person or in an online format.

In advance of the observation, the faculty member will meet with the peer reviewers to discuss the nature and learning outcomes of the course and the specific class to be evaluated and/or online course platform.

Peer reviewers will be provided with a course outline and/or specific handouts for the observed class; the faculty member may include exams or assignments as part of the course documentation and request feedback on these as well. Peer reviewers looking at online course platforms will be provided guest access to the courses' LMS sites.

During the observation process, the faculty member may, at their discretion, introduce the peer reviewers to the students at the beginning of the class and explain the reason for their presence.

When observing classes, the peer reviewers should not interact with or take part in the class during the observation, nor should they consult with one another during the process.

That faculty member may choose to receive formative advice and recommendations from the peer reviewers through sharing meetings after each class observed and/or at the end of the observation process and/or individual and/or joint written reports.

The faculty member may provide a written, reflective response to the reviewers' report(s), and have the option to include any or all of the above documentation in their professional portfolio.

Sample Peer Review Activities for Non-Teaching Faculty

- Collection of student feedback on student-associated non-teaching activities (e.g., student research project supervision or sessions for students on library workshops).
- Collection of feedback from peers regarding participation in non-teaching activities (e.g., University service).
- Presenting works in progress, analysis or final research results to peers for feedback.
- Submission and receipt of feedback on funding proposals.
- Peer review of scholarly work, including publications, conference submissions and exhibitions.

Appendix E: Sample Activities to Include for Reflection on Teaching Excellence

Sample Activities for Professional Development in Teaching

1. Reading books, articles, and web materials on teaching.
2. Interacting with colleagues and sharing ideas.
3. Seeking certification credentials as appropriate to one's field.
4. Revising and re-designing new courses or programs.
5. Choosing to teach a course known for its challenges, to explore and develop new strategies.
6. Attending conferences on teaching, or sessions on teaching within a disciplinary conference.
7. Serving on committees or task forces for program enhancement.

Sample activities for collecting information about teaching

- Observing and analyzing how students respond to one's efforts to teach.
- Looking for patterns and trends in student performance levels or behaviour.
- Reflecting on one's interactions with students.
- Collecting informal feedback from students.
- Administering midterm feedback surveys of students during a semester.
- Using end-of-term surveys of student satisfaction.
- Inviting a colleague to visit one's class.
- Holding student focus groups conducted by colleagues.
- Video-recording a class.
- Using Alumni survey data.
- Using student placement data.
- Collecting letters of appreciation by former students.

Sample activities for interacting with a community practice on teaching

- Hallway conversations; informal brown bag sessions.
- Blogging or creating web pages to describe something innovative one has done in their teaching.
- Doing public presentations, workshops, or conference sessions on their teaching.
- Developing a portfolio to showcase their teaching to others in the same field or to colleagues at other institutions.
- Writing articles or narratives about their teaching.

Below are lists of sample activities related to faculty service that may be included in a faculty member's professional dossier. These are only suggestions.

Appendix F: Sample Activities for Reflection in Service Excellence

Sample activities for professional development in service

- Undertaking roles in service to the community, in capacities relevant to areas of expertise (e.g., consultation, advising, design services, research, building relationships with community partners, creative work etc.).
- Undertaking roles in professional associations within a field (e.g. editing of journals, committee work, contributions to national dialogues etc.).
- Serving on a University committee or council.
- Mentoring colleagues; onboarding new faculty.
- Conducting research to learn more about a challenge/ problem that the university is facing.
- Developing improvement plans to address problems related to curricula, programs, departments, or University as a whole.
- Undertaking an administrative or governance role; project leader, committee head, chair.
- Attending training to develop skills and knowledge targeting institutional enhancement.

Sample activities for collecting information about service

- Observing examples of one's participation and impact, for example, policies drafted; documents created for an organization; research/ reports conducted for a project; recommendations made to a community partner.
- Collecting letters or memos where one's work has been observed and/ or praised (e.g., by students, community partners, colleagues, organizations etc.).
- Reflecting on rewards or other program recognitions received for service.

Sample activities for interacting with a community of practice on service

- Written narratives to explain one's work with colleagues.
- Public presentations of new policies or practices; or presentations of projects and plans.
- An updated CV that includes all of one's work in the above areas.

- Web resources that describe publicly the projects one has engaged in.
- Articles, reports written for community partners or professional associations.

Appendix G: Sample activities related to scholarly activity

Sample activities for professional development in scholarly activity

- Reading books, articles, and web materials related to subject areas.
- Interacting with colleagues to share ideas within one's department and across faculties.
- Seeking certifications and other learning at conferences and seminars within a disciplinary area.
- Revising and re-designing courses or programs to reflect changes in the field.
- Choosing to teach a course known for its challenges, in order to develop new understandings.
- Mentoring students in research (course-based activities, paid assistantships, thesis-writing).
- Using expertise to aid the community or society such as by addressing pressing issues or raising funds.
- Leading or participating in a funded or unfunded research activity, project, centre or lab.
- Inquiring into one's teaching practices (i.e., "scholarship of teaching and learning").
- Using one's disciplinary expertise in creative outputs such as a writing, performance, exhibition.
- Applying for external funding to undertake basic or applied research, or a creative endeavour.