

From: Ken Cruikshank, Dean, Faculty of Humanities

To: All CP/M Faculty in the Faculty of Humanities

Subject: Career Progress and Merit and Flexible Work Assignment Guidelines in the Faculty of Humanities

Date: Discussed at the Faculty of Humanities Meeting, 3 February 2014, 27 April 2015

Every effort has been made to ensure that the following guidelines are consistent with the procedures and policies of the University, including the Faculty Career Progress/Merit Plan, as most recently amended and approved by Joint Committee in 2009, Guidelines for Load Teaching in the Spring/Summer, the Twilight Hour or Evening, as most recently amended and approved by Senate in February 2008, the Research Leave Policy – Tenured and CAWAR Faculty, Research Leave Policy – Permanent Faculty, as most recently amended and approved by Senate in December 2011, and the McMaster University Revised Policy and Regulations with respect to Academic Appointment, Tenure and Promotion (2012) and Supplementary Policy Statements. The guidelines do not represent policy, and do not supersede any of these or other University policies.

The following principles are intended to guide the Dean, Chairs¹, and Departments² in the Faculty of Humanities in the allocation of Career Progress/Merit awards, and the assignment of equitable teaching, research and service responsibilities:

1. A faculty member's CP/M award lies between 0 and 2.5, in steps of .25 increments. Par (1.0) connotes satisfactory performance and implies competent discharge of the duties normally associated with a faculty appointment at McMaster.
2. Research, teaching and service constitute 40%, 40% and 20% of a tenured or tenure-track faculty's normal work assignments, respectively, unless otherwise stated in the letter of appointment, or arranged with the Chair and Dean (see below).
3. To be consistent with these work assignment percentages, Departments will assess CP/M performance in increments of .20, and then round the total to the nearest multiple of .25 (e.g. .80 would become .75, and 1.20 would become 1.25). Departments may use discretion in rounding down or up, but will need to provide a clear explanation to the Dean for varying the usual rounding rules.
4. Satisfactory performance (par) therefore normally entails satisfactory service (.20), normal teaching responsibilities (.20), satisfactory evaluation of teaching or evidence of efforts to address unsatisfactory evaluations (.20), involvement in ongoing research (.20), and the publication of at least one peer-reviewed article or production of an equivalent artistic project, or successful application for an external research grant (.20). Extraordinary teaching (.20 or more) or service achievement (.20) may for one or two years compensate for the absence of a peer-reviewed publication or artistic production, but only if there is evidence of ongoing research.
5. The final CP/M assessment is relative to others in the Faculty and is decided by recommendation of the Chair to the Dean, which is in turn reviewed by the Dean and the Dean of Graduate Studies, before final recommendation from the Dean to the Provost.

¹ The word "Chair", wherever it appears, should be taken to mean "Chair or Director".

² The word "Department", wherever it appears, should be taken to mean "Chair in consultation with the Department" or "Director in consultation with the School or Programme".

6. Chairs will inform faculty members of their probable award, and the basis of the award, following the review by the Dean and the Dean of Graduate Studies. It is the Chair's responsibility in the first instance to provide each faculty member with an opportunity to discuss the determination of the award, if the faculty member has any questions.
7. In assessing CP/M and in using the guidelines listed below, Departments must work within the constraints of available par increments, and the need to reserve some of that allocation for faculty-wide and university-wide distribution. In general, this means the Department's recommendation should average no higher than 1.17.
8. Faculty members must be awarded .20 in each of the teaching, research and service categories before they may be awarded more than .40 for either teaching or research, or more than .20 for service.
9. The following criteria DO NOT represent rigid entitlements; they simply represent achievements that may be awarded .20 points. Departments are encouraged to develop more specific criteria appropriate to disciplinary expectations, but consistent with the following criteria and with University policy:

1. Teaching

.40 is satisfactory (maximum 1.0)

- .20 effective performance of teaching responsibilities at the graduate and undergraduate levels.
In making this assessment, consideration may be given to the thoughtful selection and arrangement of course topics and materials, lecturing and/or leading class and seminar discussions, assisting students during office hours, timely and helpful marking of student submissions (especially when editorial comments are given to the student), meeting deadlines for the setting of examinations, designing examinations that permit accurate assessment, and the supervision of student research papers and independent studies.
- .20 good student evaluations or other evaluation of teaching, or evidence of response to / explanation of weaker student or other evaluation; good evaluation of graduate teaching and/or supervision
- .20 major contribution to undergrad or graduate teaching or curriculum, exceptional student and peer evaluations that put in top instructors in Department; exceptional supervisory work in the graduate program
- .20 major teaching award (e.g. MSU undergraduate teaching award, President's graduate supervisory award, external teaching awards such as OCUFA and 3M)
- .20 significant pedagogical innovation (e.g. significant innovative course design or technological developments when used for the first time; development of a new academic program or the making of significant improvements to an existing academic program)

2. Research

.40 is satisfactory, maximum 1.0

- .20 normal involvement in ongoing research. Faculty members who receive only .20 must provide their Chair with evidence of progress in research projects such as the delivery of related conference papers, manuscript material or new artistic work in progress, continuing participation in internally or externally funded scholarship as a principle or significant co-investigator or collaborator, participate as significant co-investigator in application for research funding, works accepted for publication
- .20 peer-reviewed publication(s) or equivalent artistic production;
- .20 superior research performance, additional to .20 for peer reviewed publication. e.g. for the publication of a peer-reviewed book, a major peer-reviewed solo exhibition in the visual arts, a major concert, multiple articles, or an article or articles in an especially prestigious journal; “reception” of peer-reviewed book or major artistic production in year after publication/production
- .20 academically successful application for an external research grant
- .20 significant recognition of scholarly achievements (major external book award, appointment to Royal Society or other prestigious appointments or professional awards)

3. Service

.20 is satisfactory, maximum of 0.6

- .20 satisfactory Department, Faculty and/or University service, including regular attendance at and participation in the work of assigned committees; service may include participation in thesis examinations in other departments
- .20 significant service to the Department, Faculty and/or the University (e.g. chairing a major committee, significant counseling responsibilities) and/or to the profession (e.g executive responsibilities on professional society, organization of a major conference, frequent work as external examiner in another institution). In considering whether to assign an additional .20 for significant service, attention should be paid to course release or other benefits connected to the Department, Faculty or University service.
- .20 significant recognition of service achievements: e.g. award if not counted as research award above, president or equivalent leadership responsibilities in professional organization.

Flexible Work Assignment Guidelines

10. It is the expectation that all tenure-stream faculty members will contribute in significant and measurable ways to all aspects of the life of the university, including teaching, research and service.
11. A tenured faculty member may discuss with his or her Chair a personal departure from the normal work assignments, usually to increase his or her commitment to teaching and reduce his or her research activity, which must be approved by his or her Chair and the Dean. The faculty member must discuss the likely duration of the departure from normal work assignments.
12. A tenured faculty members who receives .20 or less (*or .25 or less for Research under the CP/M guidelines previously in effect) for his or her research evaluation for two years should discuss the situation with his or her Chair, and be asked whether he or she is interested in taking on additional teaching and/or service responsibilities. Anyone who receives .20 or less (*or .25 or less for Research under the CP/M guidelines previously in effect) for three or more years shall be deemed to be dedicating more time to teaching and service, and may be assigned additional responsibilities in those areas. This decision to reassign the distribution of work will be at the discretion of the Dean of the Faculty, in consultation with the Chair. In using that discretion, the Chair and Dean shall take into account the previous research record prior to the 3 year period.
13. In reassigning teaching, it is reasonable to expect that a tenured faculty member who is not active in research as described previously could be assigned up to 7 half courses or 21 units in the calendar year, including during the spring and summer.
14. The flexible work assignment policy MAY NOT be applied to tenure-track faculty whose tenure decisions are still pending.
- 15(a). A faculty member may be deemed by the Chair to be making a particularly heavy service or research administration contribution on behalf of the university. Under these circumstances, the Chair may recommend to the Dean that a reduced teaching assignment (typically 1 half course or 3 units) be offered.
- 15(b). A faculty member may be deemed under the *Additional Flexible Work Assignment Guidelines (2015) Appendix A* to have shown that they are contributing to the graduate student and/or research mission of the Faculty so as to be considered for a reduced teaching assignment of 1 half course or 3 units.
- 15(c). Work re-assignment is at the discretion of the Chair in annual discussion with individual faculty member concerning teaching assignments for the next year. If a Faculty member feels their contribution is not being recognized in her or his teaching assignment, she or he should first discuss with her or his Chair, and, if still not satisfied, arrange to discuss with the Dean.
- 15(d). In all cases, the Chair reserves the right to determine the work assignment of a faculty member or to adjust the teaching assignment according to the 2014 guidelines.
16. A faculty member whose assigned teaching or service may be altered due to this policy will be notified in advance by the Chair. This policy requires formal notification of the faculty member in writing at least one term in advance. It is recommended that Chairs initiate the process by arranging a discussion with the faculty member in advance of providing written notification, and further that every effort be made to phase in the changes.

17. A faculty member whose assigned teaching, research and service responsibilities have been changed due to these guidelines may be awarded CP/M using a formula that is weighted to more accurately reflect his or her new work assignment balance. Such changes can be initiated by the faculty member or by the Chair, in consultation with the faculty member, and they are subject to approval by the Dean.
18. The research leave policy for tenured faculty (SPS C1) stipulates that a faculty member “have a satisfactory record of scholarly achievement since the beginning of the previous research leave”. The assignment of additional teaching and/or service responsibility may result in altering the expectation of such scholarly achievement. In such cases, the faculty member will need to demonstrate that he or she will use the leave to develop new research capability or to devote their time to pedagogically-oriented scholarship. Faculty members may want to refer to *SPS C2, Research Leave Policy - Permanent Faculty*, and to consult with their Chair about eligibility for research leave under this policy.
19. A faculty member who has been reassigned duties may apply to the Research Leaves Committee for a six month research leave aimed at returning to the normal work assignment of 40% research, 40% teaching and 20% service. To qualify, a faculty member must be eligible by time for the leave, have a satisfactory record of scholarly achievement in their reassigned duties, and have a satisfactory plan to use the leave to recommence their research activity. When these conditions are met, the leave shall not be unreasonably denied. The normal work assignment shall be restored to the faculty member for one year following the leave, and progress to restoring their research activity reviewed by the Chair and Dean, to determine whether the normal work assignment should continue.

Application of CP/M Guidelines to Teaching Track Faculty and Contractually Limited Appointments

20. Teaching and scholarship and service normally constitute 80% and 20% respectively of the work assignment of a faculty member holding a teaching or contractually limited appointment, unless otherwise stated in the letter of appointment, or arranged with the Chair and Dean.
21. To be consistent with these workload percentages, Departments will assess CP/M performance in increments of .20, and then round the total to the nearest multiple of .25. (e.g. .80 would become .75, and 1.20 would become 1.25). Departments may use discretion in rounding down or up, but will need to provide a clear explanation to the Dean for varying the usual rounding rules.
22. The final CP/M assessment is relative to others in the Faculty and is decided by recommendation of the Chair to the Dean, which is in turn reviewed by the Dean and the Dean of Graduate Studies, before final recommendation from the Dean to the Provost. Chairs will inform faculty members of their probable award, and the basis of the award, following the review by the Dean and the Dean of Graduate Studies. It is the Chair's responsibility in the first instance to provide each faculty member with an opportunity to discuss the determination of the award, if the faculty member has any questions.
23. In assessing CP/M and in using the guidelines listed below, Departments must work within the constraints of available par increments, and the need to reserve some of that allocation for faculty-wide and university-wide distribution. In general, this means the Department's recommendation should average no higher than 1.17.
24. Faculty members must be awarded .40 in teaching and scholarship and .20 in service, before they may be awarded more than .40 for teaching and scholarship, or more than .20 for service.
25. The following criteria DO NOT represent rigid entitlements; they simply represent achievements that may be awarded .20 points. Departments are encouraged to develop more specific criteria appropriate to disciplinary expectations, but consistent with the following criteria and with University policy:

- a. **Teaching and Scholarship**

.80 is satisfactory (maximum 2.0)

- .20 effective performance of teaching responsibilities at the undergraduate level and, with the approval of the School of Graduate Studies, at the graduate level. In making this assessment, considerations can be given to factors such as the thoughtful selection and arrangement of course topics and materials, lecturing and/or leading class and seminar discussions, assisting students during office hours, timely and helpful marking of student submissions (especially when editorial comments are given to the student), meeting deadlines for the setting of examinations, designing examinations that permit accurate assessment, the supervision of student research papers and independent studies beyond normal teaching responsibilities
- .20 effective performance of teaching responsibilities, while holding a teaching assignment

that is beyond what is expected of tenured faculty in the Department (or evidence of ongoing research activity or additional service activity that has been formally approved as a substitute for some or all of these extra teaching responsibilities)

- .20 good student evaluations or other evaluation of teaching, or evidence of response to / explanation of poor student or other evaluations; where permitted, good evaluation of graduate teaching and supervision
- .20 evidence of very good or excellent student and/or peer evaluations
- .20 evidence of mentoring or sharing teaching practices within and/or beyond the department, leadership within Department with respect to teaching and learning
- .20 major teaching award (e.g. MSU undergraduate teaching award, President's graduate supervisory award, external teaching awards such as OCUFA and 3M)
- .20 significant pedagogical innovation (e.g. significant innovative course design or technological developments when used for the first time)
- .20 major contribution to undergraduate curricular development beyond the individual course level (e.g. development of a new academic program or the making of significant improvements to an existing, academic program)
- .20 peer reviewed publications in the scholarship of teaching and learning, or publication that clearly can be shown to enhance teaching and learning
- .20 academically successful application for an external or major internal research grant related to the scholarship of teaching learning, or other evidence of significant contribution to the scholarship of teaching and learning.

b. Service

.20 is satisfactory, maximum of 0.6

- .20 satisfactory Department, Faculty and/or University service, including regular attendance at and participation in the work of assigned committees; where approved, service may include participation in thesis examinations in other departments.
- .20 significant service to the Department, Faculty and/or the University (e.g. chairing a major committee, significant counseling responsibilities) and/or to the profession (e.g executive responsibilities on professional society, organization of a major conference, frequent work as external examiner in another institution). In considering whether to assign an additional .20 for significant service, attention should be paid to course release or other benefits connected to the Department, Faculty or University service.
- .20 significant recognition of service achievements: e.g. award if not counted as research award above, president or equivalent leadership responsibilities in professional organization.

Additional Flexible Work Assignment Guidelines (2015) Appendix A

The following additional guidelines are aimed at recognizing the contribution to graduate education and research mission of the Faculty of Humanities. It updates, extends and replaces systems currently in place in a few Departments in the Faculty.

The following guidelines apply to both tenured and teaching track full time faculty members unless he or she already does not have a normal teaching assignment in the faculty, owing to their appointment or other reason.

NB: *Teaching track faculty members may only engage in some graduate supervisory duties if they have been granted permission from the School of Graduate Studies.*

1. The normal teaching assignment for each tenured full-time faculty member in the Faculty of Humanities is 15 units annually, and teaching-track full time faculty member is 24 units annually.
2. That teaching assignment may be varied on the recommendation of the Chair of the program, with the approval of the Dean.
3. In the case of teaching faculty, the 24 unit assignment applies to any faculty with permanence who choose to engage only in teaching courses. The assignment may be varied if there is evidence of substantial active engagement in curriculum development and/or evaluation (beyond the individual course), presentations and scholarship on teaching or pedagogy, mentoring, or research into the efficacy of different pedagogical approaches.
4. In the case of both tenure and teaching faculty, the teaching assignment may be varied if the faculty member is eligible for a work assignment equivalent to a 3 unit course, using the attached “points system” document.
5. The “points system” shall be applied subject to the following conditions:

A faculty member is eligible for a work assignment:

- a) Equivalent to a **maximum** 3-unit course annually if she or he earned a minimum average of 12 points three year rolling average (36 points over 3 years)

OR

- b) Equivalent to a **maximum** 3-unit course once she or he has earned 12 points total.
6. Work re-assignment is at the discretion of the Chair in annual discussion with individual faculty member concerning teaching assignments for the next year.
7. In all cases, the Chair reserves the right to determine the work assignment of a faculty member or to adjust the teaching assignment according to the other work assignment guidelines.
8. Graduate supervisory work conducted for any program at McMaster University can be considered. All supervisory or other work must have been approved by the Graduate Director (or designate) of the program in question.
9. **The Form:** Departments can choose who actually records the points, but the form should be completed for each faculty member for work completed in the year leading up to and

including September 15 of each year. Faculty members may then discuss her or his teaching assignment with her or his Chair or Director at course management time. Chairs and Directors should be prepared to produce the form when meeting with the Dean's Office about course management, and in any event should submit the form to the Faculty Office along with the Annual Activity and Consulting Reports and updated C.V. in January, for any faculty member whose course assignment will be affected. (Chairs and Directors are welcome to have faculty use a September update of the Annual Activity report form as a way of documenting the points form, thus saving faculty members too much extra reporting).

10. The new form will first be used for the year ending September 15 2015, and may affect work assignments in 2016-17. Individuals who have had a normal teaching assignment (at least 15 units for tenured and 21 units for teaching faculty) in 2014-15 and 2015-16 may record activities for the year ending September 15 2013 and 2014, as well as 2015.
11. Flexible work assignments recognize activity at the level of the individual faculty member. If a faculty member feels she or he is being or is disadvantaged in the assignment of graduate work, she or he should first discuss the matter with his or her Chair/Director and, if she or he remains unsatisfied, meet with the Dean of Humanities.
12. Tenure-track faculty should be assigned 12 units of teaching and teaching track faculty assigned 18 units of teaching automatically in two of their first four years at McMaster.

McMaster University
Department of _____

Graduate Studies and Research (for work re-assignment equivalent to 3 units)

Name: _____ Date _____

Signature*(or submit as attachment via McMaster email) _____

Work Assignment – Graduate Studies Mission of the Faculty	Value	Number	Points
Ph.D.: Primary supervisor (annual, maximum 4 years, per student)	4		
Ph.D.: Primary co-supervisor (annual, maximum 4 years, per student)	3		
Ph.D.: Primary supervisor or co-supervisor (annual, 1 year in excess of 4 years, per student)	1		
Ph.D.: Supervisory committee (annual, maximum 3 years, per student)	2		
Ph.D.: Supervisory committee (annual, 1 year in excess of 3 years, per student)	1		
PhD.: Uncredited qualifying/comprehensive exam work (specify – per student):	2		
M.A. : Thesis - primary supervisor (annual, maximum 2 years, per student)	4		
M.A. : Major Research Paper or Project (1 time/1 year only value, per student)	2		
M.A. : Thesis – reader or supervisory committee (1 time/1 year only value, per student)	1		
M.A. : Major Research Paper or Project – reader or supervisory committee (1 time/1 year only value, per student)	.5		
Ph.D. and M.A. Graduate Independent Studies Supervision* *defined as <i>all</i> graduate seminars taken for course credit with fewer than 5 students, approved by program’s Graduate Chair or designate	-----	-----	-----
Supervision of 1-4 PhD and/or MA students (per student, per 3 units)	2		
Supervision of PhD students in credited MA seminar (requires additional work from PhD students – per student, per 3 units)	1		
Supervision of graduate students in credited undergraduate seminar (requires additional work from graduate students – per student, per 3 units)	.5		
Total (A) – Graduate Studies Mission of the Faculty	-----	-----	

Work Assignment – Research Mission of the Faculty	Value	Number	Points
External Research Grant Activity (normally not to be applied in any year when recognized in CP/M award, or in any year when teaching release is included in the grant)	-----	-----	-----
External Research Grant <u>beyond</u> one year (P.I. or major collaborator)	4		
Add (4+2) if annual share as PI or collaborator greater than \$50,000	+2		
Add (4+2+2) if annual share as PI or collaborator greater than \$100,000	+2		
Application as PI (unsuccessful) for external research grant greater than \$25,000	2		
Add (2+2) to above if unsuccessful tri-council grant recommended but not funded	+2		
Total (B) – Research Mission of the Faculty	-----	-----	
Total (A+B)	-----	-----	