

## **Article 11**

### **TENURE-TRACK APPOINTMENT AND TENURE FOR FACULTY MEMBERS**

- 11.01 A candidate for a non-decision year review, extension of a tenure-track appointment or for tenure shall be considered at the times specified in this Article and in Clause 10.06. Candidates shall prepare and submit materials for the assessment file to the Administrative Head in accordance with Article 9.
- 11.02 At the option of the candidate, exercised in writing to the Administrative Head with best efforts to provide a copy to the Director of Faculty Relations within eight (8) months of the effective date of the appointment, some or all of the time spent in term appointment(s) at the University in the six (6) year period immediately preceding a tenure-track appointment, provided that this time follows the completion of the doctorate (or the recognized terminal qualification in their discipline), may be included in the years of service specified in this Article. A total of six (6) Laboratory Courses or nine (9) non-Laboratory Courses shall be the equivalent of one (1) full year of relevant academic experience.
- 11.03 A tenure-track appointment is an appointment which shall lead to consideration for tenure according to the criteria and procedures specified in this Collective Agreement, unless the tenure-track appointment is not extended in accordance with this Article. A tenured appointment is a continuing appointment which shall not be terminated by the University except as provided for in this Collective Agreement.
- 11.04 A tenure-track appointment shall be made for an initial period of three (3) years.
- 11.05 When a search has been conducted and the advertisement stated that a completed earned doctorate (or the recognized terminal qualification in the discipline) is required for the appointee to receive the rank of Assistant Professor and to be in a tenure-track position, and the candidate recommended to the Board of Regents for appointment has not completed an earned doctorate (or recognized terminal qualification in their discipline), the appointment shall be a regular term, non-renewable appointment for three (3) years at the rank of Assistant Professor in accordance with Clause 23.02. During the first twenty-four (24) months of the term of the appointment, if the Faculty Member completes all requirements for the doctorate (or the recognized terminal qualification in their discipline), they shall begin a tenure-track appointment following completion of the requirements for the degree. The date that the tenure-track appointment would begin would be determined by Clauses 12.04 and 12.05 substituting date of completion of the degree for date of appointment. Time in the term appointment shall not otherwise count toward the tenure-track period. During the final twelve (12) months of the regular term appointment, completion of the doctorate (or the recognized terminal qualification in their discipline) shall not lead to a tenure-track position although the Faculty Member may wish to respond to an advertisement for the position they were occupying.
- 11.06 An Assistant Professor holding a regular term appointment in accordance with Clause 11.05 who completes a higher degree shall have their salary adjusted in accordance with Clause 32.28 effective the date of notification of the completion to the Administrative Head.

### **NON-DECISION YEAR REVIEWS**

- 11.07 The following procedures shall be used for non-decision year reviews of tenure-track appointees:
- (a) If the Faculty Member being reviewed has been elected or appointed to the Committee, they shall not join the Committee as a member until their review, which shall be the Committee's first review, has been completed by the Committee.
  - (b) The Promotion and Tenure Committee shall assess the file, constructed in accordance with Article 9, and may meet with the Faculty Member.
  - (c) By October 1, the Promotion and Tenure Committee shall submit a Report to the Administrative Head assessing progress toward meeting the criteria for tenure. Where appropriate, specific advice to the Faculty Member may be included in the Report. Following the submission of this Report, the Faculty Member being reviewed, if they have been elected or appointed to the Committee, shall join the Committee for the remainder of its work.
  - (d) Following receipt of the Committee's Report, the Administrative Head shall write their own Report.

- (e) By October 15, copies of both Reports will be sent to the Faculty Member, the personal file and, in the case of departmentalized units, to the Dean, or at the Marine Institute, to the Associate Vice-President (Marine Institute) Academic and Student Affairs.

#### **TIMING OF TENURE CONSIDERATION**

- 11.08 Except as provided elsewhere in this Collective Agreement, a Faculty Member with the rank of Assistant Professor shall be considered for tenure in the sixth year of service. A Faculty Member with a tenure-track appointment at the rank of Associate Professor shall be considered for tenure in the third year of their tenure-track appointment. At the rank of Associate Professor, tenure shall not be granted at the initial appointment without a positive recommendation from the Search Committee. Appointments at the rank of Professor, unless they are term appointments in accordance with Article 23, shall be with tenure.

#### **EXTENSION OF TENURE-TRACK APPOINTMENT**

- 11.09 Following the review of an Assistant Professor in the third year of a tenure-track appointment, one of the following actions shall be taken by the University:
- (a) if the performance of the Faculty Member indicates satisfactory progress toward tenure using the criteria stated in Clause 11.29, the tenure-track appointment shall be extended for three (3) years;
  - (b) if the performance of the Faculty Member is unsatisfactory, the appointment to the University shall not be extended.

#### **PROCEDURES FOR OBTAINING EXTERNAL APPRAISALS OF CANDIDATES FOR TENURE**

- 11.10 The assessment file of a Faculty Member being considered for tenure shall contain at least three (3) and no more than five (5) letters of reference solicited by the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs. Referees providing these letters shall:
- (a) be competent and recognized scholars in the relevant discipline who do not hold an appointment with the University. Normally, referees shall hold the rank of Associate Professor or Professor at a recognized university. In all cases, at least two (2) letters shall be obtained from individuals holding the rank of Associate Professor or Professor at a recognized university;
  - (b) have a national or international reputation for excellence in their field;
  - (c) not currently be collaborating with a candidate nor have collaborated in the past five (5) years.
- 11.11 By September 15, the Faculty Member shall submit to their Administrative Head a list of at least five (5) potential referees who meet the criteria listed in Clause 11.10. The Administrative Head shall consult with the Faculty Member concerning the appropriateness of the names on the list for the purpose.
- 11.12 Should the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs wish to add additional names to the list of potential referees, they may do so only after consulting with the candidate concerning the appropriateness of these additional referees for the purpose. The candidate may register, in writing, any reservations they may have concerning the appropriateness of proposed referees. At the option of the candidate, this written reservation shall be placed in the candidate's assessment file but shall not be provided to the referees.
- 11.13 The Dean, Director or Associate Vice-President (Marine Institute) Academic and Student Affairs shall choose the referees from the list of potential referees and request letters from them. At least two (2) of the referees shall be chosen from the list submitted by the Faculty Member, provided that the Faculty Member has submitted the names of at least two (2) potential referees who meet the criteria listed in Clause 11.10. The Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs shall correspond with potential referees and those agreeing to act as referees by expeditious means. In requesting letters, the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs shall use a model letter and shall seek an early response from the potential referees as to their willingness to act as a referee. Copies of letters to potential referees, minus identifying information, shall be added to the candidate's assessment file in accordance with Article 9.

- 11.14 In the event that any scholar contacted declines to serve as referee, following consultation as specified in Clause 11.11, the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs may approach an additional scholar to request them to serve as referee. Any scholar chosen from the list submitted by the Faculty Member who declines to act as referee shall be replaced by another scholar chosen from the list submitted by the Faculty Member. When the letters of reference are received, the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs shall transmit copies to the Administrative Head, where they will be added to the candidate's assessment file in accordance with Article 9.
- 11.15 The Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs shall ensure that each referee has access to a complete electronic copy of the Faculty Member's assessment file. Unless otherwise indicated in writing by the candidate, the file shall not contain non-decision year reviews, recommendations formulated during previous Promotion and Tenure assessments, and related correspondence inserted by the candidate or the University.
- 11.16 In no circumstance shall the final assessment file contain fewer than two (2) letters of reference from referees on the list submitted by the Faculty Member, provided that the Faculty Member has submitted the names of at least two (2) potential referees who meet the criteria listed in Clause 11.10 and who agree to serve as referee.
- 11.17 For appointments in Counselling at Grenfell Campus, the Vice-President (Grenfell Campus) shall seek letters of appraisal using the general procedures specified in Clauses 11.10 through 11.16, except that the Vice-President (Grenfell Campus) shall replace all instances referring to Dean.

#### **CONSIDERATION FOR TENURE**

- 11.18 Following the review for tenure of an Assistant Professor in their sixth year of a tenure-track appointment, one of the following actions shall be taken by the University:
- (a) if the performance of the Faculty Member has satisfied the criteria for tenure, tenure shall be granted and a Faculty Member holding the rank of Assistant Professor shall be automatically promoted to Associate Professor;
  - (b) if the performance of the Faculty Member has not satisfied the criteria for tenure, their tenure-track appointment shall not be extended but if this decision is made in the sixth year, they shall be offered a further one (1) year terminal appointment.
- 11.19 The file of an Associate Professor being considered for tenure in their third year of a tenure-track appointment shall contain at least three (3) and no more than five (5) letters of reference solicited by the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs. Referees providing these letters shall:
- (a) be competent and recognized scholars in a relevant discipline who are external to the University. Normally, referees shall hold the rank of Associate Professor or Professor at a recognized university. In all cases, at least three (3) letters shall be obtained from individuals holding the rank of Associate Professor or Professor at a recognized university;
  - (b) have a national or international reputation for excellence in their field;
  - (c) not currently be collaborating with a candidate nor have collaborated in the past five (5) years.
- 11.20 Letters of appraisal shall be sought using the procedures specified in Clauses 11.10 through 11.16.
- 11.21 Following the review of an Associate Professor in their third year of a tenure-track appointment, one of the following actions shall be taken by the University:
- (a) if the performance of the Faculty Member has satisfied the criteria for tenure, tenure shall be granted;
  - (b) if the performance of the Faculty Member has not satisfied the criteria for tenure, the appointment to the University shall not be extended but they shall be offered a further one (1) year terminal appointment.

- 11.22 An Assistant Professor in their fifth year of a tenure-track appointment, or an Associate Professor in the second year of their tenure-track appointment, may apply to be considered for tenure. The provisions of Clause 11.10 shall apply and letters of appraisal shall be sought using the procedures specified in Clauses 11.10 through 11.16. The candidate must meet the expectation of superior performance.
- 11.23 When candidates are considered for tenure under the provisions of Clause 11.22, one of the following actions shall be taken by the University:
- (a) if the performance of the Faculty Member satisfies the expectation of superior performance as stated in Clause 11.22, tenure shall be granted and a Faculty Member holding the rank of Assistant Professor shall be automatically promoted to Associate Professor.
  - (b) if the performance of the Faculty Member does not satisfy the expectation of superior performance as stated in Clause 11.22, the tenure-track appointment shall continue in accordance with the original appointment and any extension previously given.
- 11.24 When candidates are considered for tenure under the provisions of Clause 11.22, such considerations shall take place only once in an ASM's career. The Promotion and Tenure Committee and the Administrative Head shall comply with the provisions of Clauses 10.08 and 10.09, except that their recommendations shall be limited as specified in Clause 11.23.

#### **PART-TIME TENURE-TRACK APPOINTMENTS**

- 11.25 In the case of a Faculty Member holding a part-time tenure-track appointment, the years of service at the University counted towards eligibility for tenure review shall be prorated as follows: the years of service shall be taken to be the duration of the part-time appointment multiplied by the ratio of part-time/full-time. The years of service shall be rounded up to the next full year for any part of a year greater than 0.7.

#### **INFORMING THE COMMITTEE AND THE CANDIDATE**

- 11.26 (a) When the Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs makes a negative recommendation to the Provost & Vice-President (Academic) on the extension of a tenure-track appointment or granting of tenure, the Promotion and Tenure Committee and the candidate shall be informed no later than December 15 in the case of non-extension and February 15 in the case of tenure. In such a case, the Dean, Director, Associate Vice-President (Marine Institute) Academic and Student Affairs shall give the candidate a statement of reasons and provide the Promotion and Tenure Committee's Report and, where applicable, the Department Head's or Division Head's recommendation.
- (b) At Grenfell Campus, when an Administrative Head makes a negative recommendation to the Vice-President (Grenfell Campus) on the extension of a tenure-track appointment or granting of tenure, the Promotion and Tenure Committee and the candidate shall be informed no later than December 15 in the case of non-extension and February 15 in the case of tenure. In such a case the Administrative Head shall give the candidate a statement of reasons and provide the Promotion and Tenure Committee's Report.
- (c) For appointments in Counselling at Grenfell Campus, when the Vice-President (Grenfell Campus) makes a negative recommendation on the extension of a tenure-track appointment or granting of tenure, the Promotion and Tenure Committee and the candidate shall be informed no later than December 15 in the case of non-extension and February 15 in the case of tenure. In such a case the Vice-President (Grenfell Campus) shall give the candidate a statement of reasons and provide the Promotion and Tenure Committee's Report.
- 11.27 (a) At St. John's Campus the President shall receive and consider a recommendation from the Provost & Vice-President (Academic) for extension of a tenure-track appointment or granting of tenure for Faculty Members and shall notify the candidate no later than March 1 in the case of extension of a tenure-track appointment and June 1 in the case of tenure of their recommendation to the Board. If the recommendation is not positive, the notification shall contain a statement of the reasons.

- (b) At Grenfell Campus, the President shall receive and consider a recommendation from the Vice-President (Grenfell Campus) for extension of a tenure-track appointment or granting of tenure for Faculty Members and shall notify the candidate no later than March 1 in the case of extension of a tenure-track appointment and June 1 in the case of tenure of their recommendation to the Board. If the recommendation is not positive, the notification shall contain a statement of the reasons.

11.28 The granting of tenure shall be effective September 1.

### **CRITERIA FOR TENURE**

11.29 The criteria for the granting of tenure, recognizing that these criteria are interrelated, shall be satisfactory academic performance considering the tenure-track period as a whole, demonstrated professional growth since the date of appointment, and the promise of future development, acknowledging diverse career paths, traditions and values, ways of knowing, and forms of communicating knowledge. In addition the Faculty Member's teaching load in accordance with Clause 3.28(c), access to research facilities specified at the time of hire, and other available infrastructure shall be considered.

Consideration shall also be given to academically relevant achievement prior to the tenure-track appointment and any years of credit towards tenure that are specified in the appointment letter.

Considering the professional duties and responsibilities of Faculty Members as set out in Article 3, the areas of assessment for tenure shall be the following with the greatest weight placed on (a) and (b):

- (a) documented effectiveness and scholarly competence as a teacher;

Recommendations and decisions shall be based on the evaluation of documentation compiled by the Faculty Member following suggestions in the CAUT Teaching Dossier (see Appendix B). The Faculty Member shall select the particular components suggested in the CAUT Teaching Dossier for inclusion in the file.

- (b) a demonstrated record, since the date of appointment, of research, scholarship, and critical, creative, professional or developmental work appropriate to the rank;

Scholarship includes the scholarship of discovery, the scholarship of integration, the scholarship of application and/or the scholarship of teaching. Review and assessment of scholarship should recognize non-traditional forms of scholarship and traditional ways of knowing.

Factors that may be considered include but are not limited to: the publication of books, monographs, and contributions to edited books; papers in both refereed and non-refereed journals; scholarly presentations delivered at professional and community meetings; success in grant competitions and obtaining external funding; developing and maintaining research collaboration and partnerships; participation in panels; unpublished research including current work in progress both supported and non-supported; editorial and refereeing duties; creative works and performances; contributions as a public intellectual; and scholarship evidenced by the candidate's depth and breadth of knowledge and general contributions to the research life and creative milieu of the University and to society as a whole. Greater weight shall be placed on refereed products of scholarship than on those that have not been refereed. Similarly, published work shall be given greater weight than unpublished work, and success in obtaining external funding shall be given greater weight than those that are unsuccessful. The quality and originality of both published and unpublished work shall be considered.

- (c) a demonstrated record of academic service.

Service includes internal and external activities related to the functioning of the University. Factors that may be considered include, but are not limited to: participating in University, Faculty, and Departmental Committees; service in professional organizations and associations, for example, through holding office on executive boards and committees; general administrative duties; and, community service where the individual has made a contribution by virtue of special academic competence.

11.30 Recommendations and decisions about the quality or quantity of activities shall be based solely on documentation in the file. Except in the case of an Assistant Professor (Research), Associate Professor

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(Research) or Professor (Research) with respect to teaching activities, if the documentation in the file includes no information about one (1) or more of the three (3) areas under consideration (teaching, research or service) this shall be grounds for a negative recommendation or decision.

- 11.31 A Faculty or School may adopt more detailed statements of criteria than those set out in this Article, so long as such statements are consistent with this Collective Agreement, are formally approved by a majority vote by ballot of the Faculty Members in the Faculty or School concerned and are approved by the Provost & Vice-President (Academic) or for Grenfell Campus, the Vice-President (Grenfell Campus). Copies of such statements shall be circulated to all Faculty Members in the Faculty or School and to the applicable Vice-President at least twenty (20) days before the ballot is distributed. The Dean, Director, or Associate Vice-President (Marine Institute) Academic and Student Affairs shall forward to the Association any such approved statement within twenty (20) days of the conclusion of the ballot.
- 11.32 When a Faculty Member resigns from the University while they are in the process of being considered for extension of a tenure-track appointment, promotion or tenure or are undergoing a non-decision year review, the process of consideration or review shall terminate and the assessment file shall not be entered into the personal file.