

**Article 12****PROCEDURES AND CRITERIA FOR PROMOTION OF FACULTY MEMBERS****GENERAL PROCEDURES**

- 12.01 Consideration of a Faculty Member for promotion follows upon formal application or nomination for such promotion. Such an application or nomination must be made in writing to his or her Administrative Head by September 1. Nomination shall require the written consent of the Faculty Member.
- 12.02 Applications or nominations for promotion to the rank of Professor shall clearly state whether consideration should be given under Clause 12.17 (c) (i) or (ii).
- 12.03 A candidate shall be assessed in accordance with the procedures set out in Article 10 except as otherwise specified in this Article.
- 12.04 In cases where a Faculty Member is appointed to the University or promoted to a higher rank between January 1 and August 31, the calculation of years in rank shall be made as though the Faculty Member had been appointed or promoted on the following September 1.
- 12.05 In cases where a Faculty Member is appointed to the University or promoted to a higher rank between September 2 and December 31, the calculation of years in rank shall be made as though the Faculty Member had been appointed or promoted on the previous September 1.
- 12.06(a) When the Dean or Director is not prepared initially to agree with the recommendation of the Promotion and Tenure Committee, he or she shall refer the recommendation back to the Department or Division Head, when applicable, and to the Promotion and Tenure Committee (at Grenfell Campus, solely to the Promotion and Tenure Committee), with his or her reasons. The Promotion and Tenure Committee shall reconsider its recommendation in light of these reasons. The Administrative Head shall inform the candidate of any such reconsideration and the Committee may request an additional meeting with the candidate. As per Clause 10.09, the Promotion and Tenure Committee shall again report to the Administrative Head, and the Administrative Head to his or her immediate administrative superior.
- 12.06 (b) For appointments in Counselling at Grenfell Campus, when the Vice-President (Grenfell Campus) is not prepared initially to agree with the recommendation of the Promotion and Tenure Committee, he or she shall refer the recommendation back to the Promotion and Tenure Committee, with his or her reasons. The Promotion and Tenure Committee shall reconsider its recommendation in light of these reasons. The Vice-President (Grenfell Campus) shall inform the candidate of any such reconsideration and the Committee may request an additional meeting with the candidate. As per Clause 10.09, the Promotion and Tenure Committee shall again report to the Vice-President (Grenfell Campus).
- 12.07(a) When the Dean, Director, Associate Vice-President (Marine Institute) Academic and Student Affairs makes a negative recommendation to the Provost & Vice-President (Academic) regarding promotion, the Dean, Director, Associate Vice-President (Marine Institute) Academic and Student Affairs shall inform the Promotion and Tenure Committee and the Faculty Member. In such a case, the Dean, Director, Associate Vice-President (Marine Institute) Academic and Student Affairs shall give a statement of reasons and provide the Promotion and Tenure Committee's report and, when applicable, the Department or Division Head's recommendation.
- 12.07(b) At Grenfell Campus, when an Administrative Head makes a negative recommendation to the Vice-President (Grenfell Campus) regarding promotion, the Administrative Head shall inform the Promotion and Tenure Committee and the Faculty Member. In such a case, the Administrative Head shall give a statement of reasons and provide the Promotion and Tenure Committee's report.
- 12.08(a) At St. John's, in every case where a Faculty Member has applied for, or has been nominated for, promotion, the President shall receive and consider the recommendation from the Provost & Vice-President (Academic) and shall notify the candidate no later than May 1 of the President's recommendation to the Board. If the recommendation is not positive, the notification shall contain a statement of the reasons.

- 12.08(b) At Grenfell, in every case where a Faculty Member has applied for, or has been nominated for, promotion, the President shall receive and consider the recommendation from the Vice-President (Grenfell Campus) and shall notify the candidate no later than May 1 of the President's recommendation to the Board. If the recommendation is not positive, the notification shall contain a statement of the reasons.
- 12.09 The Board shall notify the candidate in writing of its decision by June 1.
- 12.10 If a candidate for promotion is unsuccessful in consecutive years at any time following the minimum number of years as stated in Clauses 12.16(a) and 12.17(a) as appropriate, further consideration shall not occur until the second year following the second denial of promotion.

**PROCEDURES FOR OBTAINING EXTERNAL APPRAISALS OF CANDIDATES FOR PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR OR PROFESSOR**

- 12.11 The file of a Faculty Member being considered for promotion to the rank of Associate Professor or Professor 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 external to the University in the relevant discipline. Normally, referees shall hold the rank of Professor at a recognized university. In all cases, at least two (2) letters shall be obtained from individuals holding the rank of Professor at a recognized university;
  - (b) have a national or international reputation for excellence in their field;
  - (c) shall not currently be collaborating with a candidate nor have collaborated in the past five (5) years.
- 12.12 Letters of appraisal shall be sought using the procedures specified in Clauses 11.09 through 11.15.

**CRITERIA FOR PROMOTION**

- 12.13 To meet the criteria for promotion, the candidate shall provide evidence of a cumulative record of academic performance appropriate to the rank being sought and demonstrated professional growth. Considering the professional duties and responsibilities of Faculty Members as set out in Article 3, the areas of assessment for promotion 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 of research, scholarship, or creative and professional activities;

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 meetings; success in grant competitions; participation in panels; unpublished research including current work in progress both supported and non-supported; editorial and refereeing duties; creative works and performances; 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. 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. The quality and originality of both published and unpublished work shall be assessed. Promotion recommendations and decisions shall be based on the entire career but the candidate shall demonstrate an appropriate record of academic performance since the most recent promotion decision in the body of work constituting research, scholarship or creative and professional activities.

- (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, learned societies, and disciplinary 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.

- 12.14 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 (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.
- 12.15 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.

#### **PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR**

- 12.16 (a) At the time of application or nomination for promotion to Associate Professor, a candidate shall normally have completed at least five (5) years of service at the rank of Assistant Professor, or shall have an equivalent combination of relevant professional experience and service at the rank of Assistant Professor. Previous experience at other recognized universities shall be considered. If a Faculty Member achieves promotion to Associate Professor before being granted tenure, nevertheless the consideration for tenure shall occur in accordance with Clause 11.07 in the year that it would have occurred had the early promotion not been granted.
- (b) An application or nomination for promotion to the rank of Associate Professor before the applicant has completed five (5) years of service as an Assistant Professor or an equivalent combination of relevant professional experience and service at the rank of Assistant Professor shall be considered and decided on its merits. Such an application or nomination shall take place only once in an ASM's career and the provisions of Clause 12.11 and Clause 12.12 shall apply.
- (c) Considering the professional responsibilities and duties of Faculty Members as set out in Article 3, the criteria for promotion to the rank of Associate Professor are those set out in Clause 12.13 with appropriate adjustment to the standards for this rank using those criteria.
- (d) An exceptional record of scholarly, creative or professional work may be used to modify the standards usually applied under Clause 12.13(a). Similarly, a demonstrated record of sustained excellence in teaching may be used to modify the usual standards applied under Clause 12.13(b).

#### **PROMOTION TO THE RANK OF PROFESSOR**

- 12.17 (a) At the time of application or nomination for promotion to Professor, a candidate shall normally have completed at least five (5) years of service at the rank of Associate Professor, or shall have an equivalent combination of relevant professional experience and service at the rank of Associate Professor. A Faculty Member who has clearly established an international reputation as a scholar in his or her field, for example, by major publications or by national or international awards indicative of a high level of academic recognition, may be deemed eligible for promotion at any time.
- (b) Considering the professional responsibilities and duties of Faculty Members as set out in Article 3, the criteria for promotion to the rank of Professor are those set out in Clause 12.13 with appropriate adjustment to the standards for this rank using those criteria.

- (c) The rank of Professor is the highest rank the University can bestow and it shall be accorded only when a candidate has either:
  - (i) a superior record of research, scholarship, or creative and professional performance along with a satisfactory record of teaching effectiveness and scholarly competence as a teacher, as evidenced by documentation compiled by the Faculty Member following suggestions in the CAUT Teaching Dossier (see Appendix B), and a satisfactory record of academic service;

or

  - (ii) a superior record of teaching effectiveness, as evidenced by documentation compiled by the Faculty Member following suggestions in the CAUT Teaching Dossier (see Appendix B), along with a substantial record of research, scholarship, or creative and professional activities and a satisfactory record of academic service.
- (d) An application or nomination for promotion to the rank of Professor before the applicant has completed five (5) years of service as an Associate Professor shall be considered and decided on its merits. Such an application or nomination shall take place only once in an ASM's career and the provisions of Clause 12.11 and Clause 12.12 shall apply.
- (e) A long period of employment with this or any other university shall not lower the standard for promotion to the rank of Professor.