

ARTICLE 10 - PROMOTION

Definition of a Promotion Decision

A decision to promote constitutes a promotion decision, and shall be made by the Board only on the recommendation of the President, who shall first receive a recommendation from the Dean, following the Dean's receipt of a recommendation from COAP and the relevant Departmental/Program Personnel Committee and the Chair of the relevant Departmental/Program Personnel Committee.

Promotion shall not be granted without a positive recommendation from the Dean and the President, provided that each carries out the duties assigned in the promotion process under this Agreement without determinative procedural or substantive error or bias.

A rank promotion takes effect on the July 1 following the initiation of the promotion hearing.

Eligibility to be Considered for Promotion

- III.8.1.1 Lecturers shall be promoted to Assistant Professor upon the granting of tenure.
- III.8.1.2 **Tenured** Assistant and Associate Professors **are eligible to** ~~shall be~~ considered for promotion during the academic year in which they are on the step of their current rank scale immediately below the lowest step in the next highest rank scale ~~unless they formally request not to be considered.~~ **The Dean shall inform candidates of their eligibility to be considered for promotion by September 30th of the first year in which they are eligible for consideration. Requests to be considered for promotion, which must be in writing to the Chair of the department/program Committee, may be made by October 31st of any year in which the candidate is eligible to be considered for promotion.**
- ~~III.8.1.3~~ ~~If not promoted at this point, members shall be considered for promotion in any subsequent year that they so request in writing to the~~ **Chair of their** ~~Departmental/Program Personnel Committee.~~
- III.8.1.4 When members are recommended by the Dean to the President for a merit award which would have the effect, when awarded, of placing them at a point at which they would be eligible for promotion, they shall be **deemed to be** immediately **eligible for** ~~considered-consideration~~ for promotion, unless such a member formally requests not to be considered. The provisions of III.8.1.3 shall also apply in this case.

III.8.1.5 When a candidate is eligible for consideration for both tenure and promotion to Associate Professor in the same academic year, the granting of tenure entails promotion in the same year, unless there is an overriding failure to satisfy the IV.1.1 (iii) obligations under III.8.2.1. **Recommendations for promotion to Associate Professor that are coincident with recommendations for tenure may be made by the Departmental/Program Tenure Committee to the Chair of the Departmental/Program Tenure Committee, who then recommends to the Dean. See III.6.4.5.**

Criteria for Promotion

III.8.2 **Criteria for Promotion to Associate Professor**

III.8.2.1 **A candidate who is being recommended for tenure and who is simultaneously eligible to be considered for promotion to Associate Professor shall be recommended for promotion to Associate Professor by the Chair of the Departmental Tenure Committee, provided that the candidate is entirely satisfactory in the performance of the duties and responsibilities as set out in IV.1.1.**

When a member who was not promoted to Associate Professor at the time he/she was awarded tenure requests at a later date to be considered for promotion to Associate Professor (see III.8.1.2), the Departmental/Program Personnel Committee shall make a recommendation to the Chair of the Departmental/Program Personnel Committee who shall then make a recommendation to the Dean, based on whether the member has continued to fulfill the criteria for the granting of tenure, and is entirely satisfactory in the performance of the duties and responsibilities as set out in IV.1.1.

~~III.8.2.1 In considering the member for promotion from Assistant to Associate Professor, the committees and the individuals responsible shall determine that the member has continued to fulfill the criteria for the granting of tenure, and is entirely satisfactory in the performance of the duties and responsibilities as set out in IV.1.1.~~

III.8.3 **Criteria for Promotion to Full Professor**

III.8.2.2 The criteria for promotion to Full Professor shall be based on ~~both~~ teaching, ~~and~~ research, **and service**; the candidate must be very highly regarded in one of teaching and research, and entirely satisfactory in the other **categories**. Where individual departments/programs have formally adopted written specific standards for the application of these criteria, then these standards shall be binding upon the departments/programs concerned, provided that they have first been approved by COAP and Faculty Board, and made available for information and discussed at Joint Committee.

Promotion Procedures

III.8.3.1

Procedures for Preparation for Promotion Decisions

The Chair of the Departmental/Program Personnel Committee shall submit a recommendation for or against promotion to the Dean by the deadline specified annually in the Chair's calendar as issued by the Dean's Office. COAP, the Dean, and the President will endeavour to work within a timeline which will permit the Dean or the President to convey a decision regarding promotion to the candidate by June 30th of the year in which the promotion hearing was initiated

Once a decision to grant promotion has been made by the Board, it shall take effect on July 1st.

The Departmental/Program Personnel Committee shall be bound by the guidelines for submission of promotion recommendations as issued by the Dean's Office and revised from time to time in consultation with Joint Committee.

- i) The **Chair of the** Departmental/Program Personnel Committee shall ascertain, ~~before October 15~~ **by November 1st** of each year, whether any members of the department/program **have requested** ~~are eligible~~ to be considered for promotion under the provisions of **III.8.1.2 or III.8.1.3, with the exception of those candidates who are eligible to be considered for promotion to Associate Professor simultaneous with being considered for tenure.** ~~or eligible to request consideration for promotion under the provisions of III.8.1.3.~~
- ii) ~~Eligible candidates shall be notified by the Dean by September 30 of the first year in which they are eligible to be considered for promotion and shall~~ and be given the opportunity to request or defer consideration. **Requests to be considered for promotion, which must be in writing to the Chair of the department/program Committee, may be made by October 31 of any year in which the candidate is eligible to be considered for promotion.**
- iii) Candidates shall be given ~~at least four (4) weeks (following notification)~~ **until November 30th** to submit **such evidence as required by the guidelines for submission of promotion recommendations as issued by the Dean's Office and other** such supporting evidence as ~~they~~ **he/she** sees fit. In the case of a candidate who becomes eligible under the provisions of III.8.1.4, notification **by the Dean** of eligibility shall ~~not~~ **occur no** later than December 15th.
- iv) The Departmental/Program Personnel Committee shall follow a fair and reasonable plan to secure the views of faculty and students, and the

Chair of the Departmental/Program Personnel Committee
~~departmental/program Chair shall include a report on this plan with~~
when he/she submits the recommendation of the
Departmental/Program Personnel Committee and his/her
recommendation to COAP and to the Dean.

- v) ~~All materials submitted shall be treated in accordance with the provisions concerning personnel files (IV.8).~~
- vi) In the case of candidacy for promotion to Full Professor, candidates shall indicate no later than the time of submitting supporting evidence whether ~~they~~ **he/she** wishes ~~their~~ **his/her** candidacy to be considered by the criteria of (i) being entirely satisfactory in research and very highly regarded in teaching or (ii) being entirely satisfactory in teaching and very highly regarded in research. ~~In every case the department/program shall nominate two (2) external assessors (i.e., from universities or institutions outside Trent), of whom the candidate shall have the right to name one (1).~~ **The Chair of the Departmental/Program Personnel Committee shall provide by December 1st to the Dean the names and academic backgrounds of at least four (4) qualified assessors from universities or institutions outside of Trent, at least two (2) of whom shall be the choice of the Departmental/Program Personnel Committee and at least two (2) of whom shall be the choice of the candidate. The Chair of the Departmental/Program Personnel Committee shall provide the Dean with a brief c.v. and contact information for each of the assessors, as well as a rationale for their selection. Two assessors (one (1) named by the Departmental/Program Tenure Committee and one (1) named by the candidate) shall** ~~The assessors shall then be requested by the Dean of Arts and Science to furnish assessments of the candidate's performance in research in accordance with the criteria by which the candidate elects to be assessed. On receipt of the assessors' reports, the Dean shall make them available to the~~ **Chair of the Departmental/Program Personnel Committee.**
- vii) ~~In the case of a candidacy for promotion to Full Professor, if the Dean, after consultation with COAP, determines that the available evidence with respect to the candidate's performance in research or teaching does not suffice to make a reasonable judgment, the Dean may request further information from the Chair of the Departmental/Program Personnel Committee and/or may secure up to two (2) additional external assessments. If two (2) additional assessments are sought, the candidate shall have the right to name one (1) of the assessors. In the case of a single assessor the agreement of the candidate is required. When additional assessors are sought, the procedures outlined in III.8.3.1 (vi) shall be followed.~~

- viii) ~~A request that the Dean secure such additional external assessment(s) may be made by the Departmental/Program Personnel Committee, the Chair of the departmental/program Departmental/Program Personnel Committee Chair, or COAP. Any such additional external assessments shall be made available to the Departmental/Program Personnel Committee.~~
- ix) ~~Whether acceding to such a request, or acting upon independent initiative, the Dean shall prepare a statement of reasons for securing such additional external assessment(s). In every case, the statement of reasons shall be submitted to COAP with copies to the departmental/program Chair of the Departmental/Program Personnel Committee, the Departmental/Program Personnel Committee, and the candidate.~~
- x) ~~In the event of a negative decision duly communicated by the Dean, the member shall receive in writing full information on the procedures followed.~~

Recommendation of the Departmental/Program Personnel Committee

III.8.3.2

The Departmental/Program Personnel Committee shall be advisory to the Chair of the Departmental/Program Personnel Committee. **The Chair of the Departmental/Program Personnel Committee shall not vote.** After considering all the submissions and discussing the case **in light of the criteria specified in Article III.8.2.1 and III.8.2.2**, the Departmental/Program Personnel Committee shall vote formally to recommend or not recommend to the Chair of the Departmental/Program Personnel Committee that the candidate be promoted. ~~The Chair shall not vote.~~

In the event that the Departmental/Program Personnel Committee intends to recommend against promotion, the candidate shall be informed by the Chair of the Departmental/Program Personnel Committee with the reasons set out in writing. The candidate shall have the right to request reconsideration by the Departmental/Program Personnel Committee before it makes its recommendation to the Chair of the Departmental/Program Personnel Committee. Should the candidate request reconsideration, the candidate shall submit a written response within two (2) weeks to the Chair of the Departmental/Program Personnel Committee. The evidence to be considered by the Departmental/Program Personnel Committee in its reconsideration is to be confined to the original evidence submitted, the candidate's written response, and whatever additional relevant information the candidate provides. Following the reconsideration, the candidate shall be informed of the final recommendation of the Departmental/Program Personnel Committee which the Chair of the Departmental/Program Personnel Committee

intends to forward to the Dean, as well as the Chair of the Departmental/Program Personnel Committee's own recommendation.

In the event that the Chair of the Departmental/Program Personnel Committee is conveying a recommendation against promotion to the Dean, the member shall receive full information from the Chair of the Departmental/Program Personnel Committee on the procedures followed.

~~III.8.3.4~~ Right of Rebuttal

- ~~III.8.3.4.1~~ Where the Chair decides to recommend against promotion, the candidate shall be informed in writing of the reasons for this negative recommendation before it is forwarded to COAP. The Chair shall make available to the candidate all material tabled in the Personnel Committee. The candidate shall then have the right to submit a written rebuttal to the Dean as Chair of COAP, with a copy to the departmental/program Chair.
- ~~III.8.3.4.2~~ In the case of a recommendation against promotion to Associate Professor, if the Dean, after consultation with COAP, determines that the available evidence with respect to the candidate's performance in research does not suffice to make a reasonable judgment, the Dean may secure up to two (2) external assessment(s) of the candidate's performance in research. If two (2) external assessments are sought, the candidate shall have the right to name one (1) of the assessors. In the case of a single assessor the agreement of the candidate is required.
- ~~III.8.3.4.3~~ In the case of a recommendation against promotion to Full Professor, if the Dean, after consultation with COAP, determines that the available evidence with respect to the candidate's performance in research does not suffice to make a reasonable judgment, the Dean may secure up to two (2) additional external assessments. Where two (2) external assessors are used, the candidate shall have the right to name one (1); in the case of a single external assessor, the agreement of the candidate is required.
- ~~III.8.3.4.4~~ A request that the Dean secure external assessment(s) as allowed under III.8.3.4.2 and III.8.3.4.3 may be made by the Departmental/Program Personnel Committee, the departmental/program Chair, the candidate, or COAP. Any such additional assessments shall be made available to the Departmental/Program Personnel Committee.
- ~~III.8.3.4.5~~ Whether acceding to such a request, or acting upon independent initiative, the Dean shall prepare a statement of reasons for securing such external assessment(s). In every case, the statement of reasons shall be submitted to COAP with copies to the departmental/program Personnel Committee, and the candidate.

Recommendation of the Departmental/Program Personnel Committee to the Dean

III.8.3.3

Recommendation to COAP

The Chair shall then inform the Departmental/Program Personnel Committee of the intended recommendation to COAP. **The Chair of the Departmental/Program Personnel Committee shall forward to the Dean the recommendation of the Departmental/Program Personnel Committee along with his/her recommendation, all supporting arguments and all correspondence and documentation considered by the Departmental/Program Personnel Committee, and a report on the procedures followed.** Members of the Departmental/Program Personnel Committee who disagree with the Chair's **Departmental/Program Personnel Committee's** recommendation shall have the right to submit, together or singly, a dissenting report to COAP. **the Dean, who shall include the dissenting report(s) in the materials reviewed by COAP.**

The recommendation shall address the candidate's research and teaching, bearing in mind the criteria for the granting of promotion as set out in Article III.8.2.1 and III.8.2.2, and, where applicable, the relevant departmental/program approved written standards for the application of the criteria.

Recommendation of COAP

III.8.3.5

In its review of promotion files and recommendations received from Chairs of Departmental/Program Personnel Committees, COAP shall strive to ensure that members receive fair and equitable treatment under the procedures for granting promotion provided for in this Agreement.

COAP shall review all the submissions and recommendations pertaining to the promotion in the light of the criteria set out in III.8.2 above, and shall have access to all materials tabled in the Departmental/Program Personnel Committee.

COAP by formal vote shall make its recommendation to the Dean. The Dean shall not vote.

COAP may do one of the following:

- (i) endorse a recommendation concerning promotion from the Departmental/Program Personnel Committee, in which case COAP recommends to the Dean that the recommendation concerning promotion from the Departmental/Program Personnel Committee be upheld; or**

- (ii) **COAP may, giving reasons, instruct the Dean to request that the Departmental/Program Personnel Committee reconsider its recommendation concerning promotion; or**
- (iii) **COAP may, giving reasons, instruct the Dean to request that the Departmental/Program Personnel Committee reconsider its recommendation concerning promotion after seeking further evidence and/or supporting documentation, including but not limited to assessments from qualified external assessors. If further external assessments are being sought, the procedures outlined in III.8.3 (vi) will be followed; or**
- (iv) **COAP may refuse to endorse a recommendation concerning promotion from the Departmental/Program Personnel Committee, but shall not do so without good reason based on the criteria for the granting of promotion as provided for in III.8.2 or III.8.2, or a finding of determinative procedural or substantive error or bias.**

~~A COAP recommendation against promotion which contradicts the recommendation of the departmental/program Chair must be communicated to the Chair in writing by the Dean. The Dean shall provide the Chair with a~~ **In the event that COAP does not endorse a recommendation for promotion from the Department/Program Personnel Committee, it shall instruct the Dean to so inform the candidate and the Chair of the Department/Program Personnel Committee, setting out in writing a** summary of COAP's reasons for its recommendation, including the weight given in that recommendation to outside assessments. The Dean shall also indicate if COAP considered any additional evidence to that considered by the Departmental/Program Personnel Committee and the ~~departmental/program~~ **Chair of the Departmental/Program Personnel Committee.** If such evidence was considered by COAP, the Dean shall transmit copies of it to the ~~departmental/program~~ **Chair of the Departmental/Program Personnel Committee.** The ~~departmental/program~~ **Chair of the Departmental/Program Personnel Committee** shall discuss the Dean's communication with the Departmental/Program Personnel Committee, and may ask COAP to reconsider its recommendation.

III.8.3.6

Promotion Decision

The decision to promote a member is made subsequent to the Dean making a positive recommendation to promote to the President and the President making a positive recommendation to promote to the Board. The decision to promote is made by the Board and communicated by the President to the candidate. Promotions take effect the July 1 subsequent

to Board approval. In the case of a decision by the Dean not to promote
~~The Dean shall, in the case of a positive decision, so recommend to the
President, who in turn shall make a recommendation to the Board. In the case
of a negative decision, the Dean shall communicate that decision in writing to
the candidate, and provide a full report on the procedures followed and the
reasons for the negative decision, including the weight given to outside
assessments. A decanal decision to promote is not open to appeal.~~

**Promotion decisions take effect the July 1 following the initiation of the
promotion hearing.**