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FACULTY OF MEDICINE

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UNIVERSITY OF TORONTO
FACULTY OF MEDICINE

Manual for Academic Promotion

to Associate and Full Professor

July 2017

NOTE: This manual is not intended to be used for:

- *the process of applying for tenure at the University of Toronto*
- *the process of applying for continuing status, teaching stream*
- *appointments to the Faculty of Medicine*
- *transfer of rank on appointment from another academic institution*
- *promotion of clinical(MD) faculty from Lecturer to Assistant Professor*

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Note: All applicants for promotion are required to follow the Faculty of Medicine Standard Report Formats for CV, Teaching/Education and CPA. These formats are found on the Faculty of Medicine website (http://medicine.utoronto.ca/faculty-staff/faculty-appointments-and-promotions).

FACULTY OF MEDICINE ON-LINE ACADEMIC PROMOTION SYSTEM

Candidates will be notified by an automatic email when an account has been created in the Faculty of Medicine on-line academic promotion system (hereafter called the on-line academic promotion system). The notification will instruct candidates on how to electronically submit their promotion documents. Documents should be in PDF format only.

Changes from last year's manual have been highlighted in the text of this revised document. They are intended to provide clarity and information on the use of the electronic submission process (on-line academic promotion system).

1.0 PREAMBLE

1.1 The Meaning of Senior Promotion to Associate and Full Professor in the Faculty of Medicine

Academic promotion in the Faculty of Medicine recognizes the notable achievements of faculty members in their discipline and contributions to the University of Toronto. This manual describes the process by which our departments and the Decanal Review Committee consider individual faculty member promotion files. It provides detailed information on how academic performance can be demonstrated in the four areas of research, creative professional activity, teaching and education, and leadership/administration. Each candidate should document achievements in each applicable area. Asking each candidate to declare achievements in all relevant areas is meant to improve clarity and inclusiveness of all relevant academic activities.

The Faculty of Medicine values an inclusive view of scholarship, reflecting Ernest Boyer's (1990)[1] [2] four separate, yet overlapping meanings: the scholarship of discovery, the scholarship of integration, the scholarship of application and the scholarship of teaching. Given this perspective, promotion reviews recognize original research contributions in peer-reviewed publications, as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with community partners, including translational research, commercialization activities, and patents.

The Decanal Promotion Committee has the very important job of reviewing candidates recommended by department chairs and Departmental Promotion Committees for promotion to ranks of Associate Professor and Professor. The Decanal Promotion Committee makes its recommendations to the Dean, who then reviews those decisions and submits their approval to the Provost, which is subsequently reported to the Academic Board.

There are two exceptions to promotion that do not fall under this manual. First is the promotion of tenure-track faculty to a tenured Associate Professor position. The second is the promotion of continuing teaching stream faculty to a continuing status position at the rank of Associate Professor, Teaching Stream. The University of Toronto policy and procedures applies to both of these exceptions.

The preparation of a promotion dossier requires close attention. The Faculty asks that departmental offices provide administrative support to recommended candidates. Complete documentation for each candidate should be made available to the Decanal Promotion Committee to avoid denying promotion of a worthy candidate.

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[1] Boyer, E. (1990). Scholarship Reconsidered: Priorities of the Professoriate. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching

[2] Boyer, E. (1996). The Scholarship of Engagement. Journal of Public Service and Outreach, 1(1), 11-20.

I would like to extend my sincere thanks to the members of the Departmental Promotions Committees and the Decanal Promotion Committee who contribute much time to ensure that the Faculty of Medicine continues to maintain its high promotion standards.

Finally, I would like to express my thanks to all our faculty members for their current and future contributions to the Faculty of Medicine. Our collective achievements reinforce my belief that our outstanding faculty members truly enable the realization of our Faculty *Vision* of Leadership in improving health through education, research and partnerships.

Trevor Young
Dean

1.2 General University Policies Relevant to Promotion

Conferring a university rank is a means of acknowledging notable contributions of faculty members to the University and to their disciplines. **Promotion is not granted as a reward for long-term service, but rather to recognize those who have shown sustained excellence in specific aspects of the academic mission.**

The University's policy on academic promotion is set out in the Policy and Procedures Governing Promotions http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppapr201980.pdf, and is applicable to the Faculty of Medicine. Colleagues holding full-time University appointments are additionally governed by the principles and procedures set out in the University's Policy and Procedures on Academic Appointments (http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppoct302003.pdf).

For those in a tenure-track position, the decision to grant tenure is usually accompanied by promotion to Associate Professor. It is possible to promote a candidate to Associate Professor prior to the tenure decision, but this is unusual. Faculty preparing for tenure consideration should consult the *University of Toronto Policy and Procedures Governing Promotions* (http://www.governingcouncil.utoronto.ca/policies/promote.htm, paragraph 8), the *University of Toronto Policy and Procedures on Academic Appointments* (http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppoct302003.pdf) and any other relevant University documents.

1.3 Faculty of Medicine Promotion Manual

This manual for Academic Promotion to Associate and Full Professor provides information on attributes and assessment of academic performance for promotion from the perspective of the Faculty of Medicine. This manual is necessary since the University Policy on Promotion gives disciplines some leeway to set out what they believe are relevant additional attributes for academic performance. Specifically, the University Policy on Promotion states that it provides "sufficiently broad criteria to allow a discipline to bring into play, in the assessment of its faculty, attributes which it considers particularly relevant for performance of its own academic role" (Policy and Procedures Governing Promotions, Introduction, paragraph 2).

This Faculty of Medicine Manual for Academic Promotion to Associate and Full Professor (hereafter called the "manual") applies to all clinical (MD) academic full-time, clinical (MD) academic part-time, clinical (MD) academic adjunct, tenured faculty, non-clinical part-time, status only and contractually limited term appointed faculty members. It should be widely disseminated and discussed in appropriate fora such as departmental meetings. Department chairs, departmental promotion committees (DPC) and all candidates preparing for or applying for promotion in the Faculty of Medicine should consult the manual. The manual provides dates for important deadlines that apply to promotion within the Faculty of Medicine. It is advisable that all faculty members, upon appointment to the University,

familiarize themselves with the content of this manual so as to begin the documentation of their activities in anticipation of applying for promotion at some time in the future. This manual should also be considered a useful career guide for faculty members in the Faculty of Medicine.

It is currently expected that the majority of full-time tenured faculty members will eventually attain the rank of Professor. While there may be differences in the timing of promotion through the ranks because of competing responsibilities, such as clinical practice duties, non-tenured faculty members are fully entitled to academic advancement.

For faculty members governed by the *Clinical Faculty Policy*, the appeals process is described in the *Faculty of Medicine Procedures Manual for Clinical Faculty*, Section 3, III, 2, (2008.) http://medicine.utoronto.ca/sites/default/files/Procedures%20Manual%20for%20Policy%20for%20Clinical%20Faculty_0.pdf This is not repeated in this manual.

For non-clinical full-time faculty members *The University of Toronto Policy and Procedures Governing Promotions* (http://www.governingcouncil.utoronto.ca/policies/promote.htm) outlines procedural matters (paragraphs 17 to 27 inclusive), grounds for appeal and review procedures for appeals (paragraphs 28 and 29.) These are not repeated in this manual.

1.4 Criteria for Promotion

According to the *University of Toronto Policy and Procedures Governing Promotions*, (http://www.governingcouncil.utoronto.ca/policies/promote.htm) promotion is based on accomplishments in scholarship (research and/or creative professional activity), teaching, and service to the University. Each of these is described in detail in this manual.

The greatest weight will be given to excellence in scholarly achievement, which may be expressed in research or creative professional activity (CPA,) and to excellence in teaching.

> "The successful candidate for promotion will be expected to have established a wide reputation in his or her field of interest, to be deeply engaged in scholarly work, and to show him or herself to be an effective teacher. These are the main criteria. However, either excellent teaching alone or excellent scholarship alone, sustained over many years, could also in itself justify eventual promotion to the rank of Professor. Administrative or other service to the University and related activities will be taken into account in assessing candidates for promotion, but given less weight than the main criteria: promotion will not be based primarily on such service." *Policy and Procedures Governing Promotions*, 1980, paragraph 7).

The term 'wide reputation' is typically interpreted as the achievement of national recognition for promotion to Associate Professor and international recognition for promotion to Full Professor.

Most successful candidates will demonstrate sustained excellence in scholarship or teaching, accompanied by competence in the other area. Some candidates may claim and demonstrate an excellent level of achievement in both areas.

Successful promotion is not based on longevity. It is based on merit as described above. Usually a request for promotion prior to five years since the last promotion is considered an accelerated promotion by the DPC. The dossier, including the Chair's letter should clearly explain why there is a request for an accelerated promotion.

Some candidates may achieve promotion based on excellence in scholarship (research and/or CPA) alone or teaching alone, sustained over many years. This is uncommon in the University as a whole, but occurs occasionally in the Faculty of Medicine because of the centrality of clinician-teachers to our educational mission. Promotion based on one criterion anticipates sustained performance and will be necessarily slower than promotion based on combined criteria. Although the length of time is not specified, recent Decanal Promotion Committees view the term 'sustained' as it applies to promotion based on one criterion, to normally mean at least ten years.

2.0 PROMOTION PROCEDURES IN THE FACULTY OF MEDICINE

2.1 Steps in Promotion

Note: ***The Faculty of Medicine has certain deadlines that occur earlier than the corresponding University dates. It is expected that candidates will adhere to Faculty deadlines.***

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
1	**before March 1st 2017**	The membership of the Departmental Promotion Committee (**DPC**) is established for the next promotion cycle, and the members are made known to the Department's faculty and the Dean's Office (via the Human Resources Office). • The department chair may be the chair of the DPC. • The Departments of Occupational Science and Occupational Therapy, Physical Therapy and Speech Language Pathology establish a combined Department and Sector Promotions Committee.

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
2	**before May 1st 2017**	The department chair assembles a list of Assistant and Associate Professors for preliminary consideration by the DPC. The length of time to promotion is not specified, but normally Decanal Promotion Committees view at least five years at a given rank to be sufficient to assess performance at that rank. The list of candidates for promotion is established through several mechanisms: • Review of the CVs of Assistant and Associate Professors by the department chair. In large departments Division Heads may act on behalf of the department chair. • Hospital Chiefs may propose a candidate for promotion in writing directly to the department chair. • Written self-nomination by candidates to the Chair. (See also step 7).
3	**by May 31st 2017**	The DPC reviews the CVs of all candidates to identify those for preliminary consideration. For Faculty members for whom teaching/education is important, the CV alone may not be sufficient, so the CV may be augmented by at least a draft of the teaching/education portion of the promotion dossier. Candidates recommended for full review are then asked to submit a complete Promotion Dossier and receive information on how to proceed using the on-line academic promotion system. It is expected that candidates will have access to Hospital Chiefs, the department chair, the DPC Chair, administrative assistants in charge of promotions and/or DPC members to provide further guidance in preparing the Promotion Dossier.
4	**by July 14th 2017**	• The Promotion Dossier is reviewed by the DPC. Candidates are informed as to whether the DPC supports promotion. • The DPC suggests alterations to the Promotion Dossier if required. • Names of potential internal and external referees and student assessors are requested from the candidate, if promotion is supported.
5	**by September 1st 2017**	The candidate uploads the revised dossier and submits referee names to the DPC.
6	**by September 29th 2017**	• The department chair and the DPC add referee names to the lists submitted by the candidate. The Chair ensures that referees have no direct relationship with the candidate. • The DPC reviews the Promotion Dossier and decides whether to proceed. If so, the department chair sends out requests for letters of reference (see Sections 2.2.5 and 4.3). This manual has appended template letters for review requests (see Section 4.4), which should be used to ensure uniformity across the Faculty.

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
7	**October 13th DEADLINE**	**Final deadline for Associate Professors to request consideration for promotion in writing to the Chair. An updated CV must be attached.** **NOTE: This is a University deadline but is past the deadlines set by Faculty of Medicine. Candidates in the Faculty of Medicine are strongly urged to adhere to Faculty timetables for promotion submissions. Nonetheless, faculty members who request detailed consideration for promotion by October 10 will receive full consideration for promotion by the DPC.**
8	**October 20th DEADLINE**	**Deadline for the Chair to request Waiver of External Review** • Submit request with an updated CV (See section 2.3)
9	**November and December, 2017 (note holiday closure commences Dec 21st, 2017)**	• The DPC meets to review the final Promotion Dossier, including letters of reference, and makes final recommendations on each candidate to the Chair. • Successful candidates are informed by letter that their Promotion Dossier will be submitted to the Decanal Promotion Committee (DecPC.) • The Chair informs candidates not recommended for promotion in writing, including reasons for the decision and suggestions for future reapplication. • If the Chair does not accept a recommendation for promotion from the DPC, the candidate is informed with a statement describing the Departmental decision and a summary of the evidence considered. • Candidates not recommended for promotion at the Departmental level may apply to the DecPC for consideration. The department chair should forward the Promotion Dossier with a statement describing the Department's decision and a summary of the evidence considered. • All Promotion Committees are advisory to the Dean, who has final approval.
10	**by January 8th 2018 DEADLINE**	**Submission of materials to the Decanal Promotion Committee (DecPC)** • For each candidate for promotion, the Chair writes a separate letter of recommendation to the Dean providing details of the basis for the recommendation. ***See Section 4.4 of this manual for requirements for this letter. A sample letter is outlined in Section 4.4.1.*** • The Chair's letter and the Promotion Dossier for each candidate must be submitted to the Dean using the on-line academic promotion system, by **JANUARY 8th** **NOTE: This is a firm deadline. No further documentation will be added to promotion packages after this date. Late submissions or incomplete dossiers *WILL NOT* be reviewed by the DecPC.**

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
11	**February 13th - 16th , 2018 Decanal Review meetings** **and** **March 20th and 21st, 2018 Decanal Deferral meetings**	**DecPC Review Process** • The DecPC meets to review all submitted Promotion Dossiers. • If a decision on promotion is deferred, detailed reasons will be provided in writing to the department chair to be conveyed to the candidate. • The Chair will be invited to appear before the DecPC in support of a deferred candidate. Additional documentation may be provided at this stage. If additional letters of reference are to be presented, these must be from new referees. The Department Chair, the Chair of the DPC, if a separate one exists, and the candidate should all be involved in the preparation of additional information. In the event the Chair who has prepared and submitted the dossier has stepped down and is not available for a deferral meeting, the new Chair should work with the Chair of the DPC who oversaw the submission of the dossier to present the material at the deferral meeting. • The DecPC finalizes its recommendations to the Dean to promote or not to promote. **Dean's Review** • After review, the Dean advises Chairs of the DecPC recommendations. Chairs should advise candidates with detailed reasons where the decision is not to recommend promotion.
12	**April or May, 2018**	The Dean makes recommendations for promotion to the Provost and sends the Provost a report concerning the candidates for promotion. **Provostial Review** The Provost reviews the Dean's report and informs Academic Board of the names of those promoted. Chairs are notified immediately with detailed reasons concerning faculty members who have not been recommended to the Provost for promotion. Chairs should notify unsuccessful candidates with written detailed reasons as soon as possible.
13	**July 1st 2018**	Approved promotions are effective.

Step	Suggested Timing (Hard DEADLINES are indicated)	Description

Note on Appeals

Chairs should be familiar with the appeals process to advise candidates.

There are two possible grounds for appeal:

a) That procedures have not been properly followed, or
b) That the scholarship, teaching and service of the candidate have not been evaluated fully or fairly.

The process is outlined in Section 29 of the *University of Toronto Policy and Procedures Governing Promotions 1980,* (http://www.governingcouncil.utoronto.ca/policies/promote.htm) and more fully in the Grievance Procedure, Article 7 of the *Memorandum of Agreement Between the Governing Council and the University of Toronto Faculty Association,* 2006. (http://www.governingcouncil.utoronto.ca/policies/memoagr.htm)

Clinical Faculty should also refer to the *Policy for Clinical Faculty,* 2004 http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjul012005.pdf

and the *Procedures Manual for Policy for Clinical Faculty,* 2013 http://medicine.utoronto.ca/sites/default/files/ProceduresManualClinicalFaculty.pdf

2.2 Information for Department Chairs

2.2.1 Applicable Policies and Documentation

The department chair ensures that faculty members are aware of the following documents:

University:

a) *University of Toronto Policy and Procedures Governing Promotion, April 20, 1980* *http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppapr201980.pdf*
b) *Memorandum of Agreement between The Governing Council of the University of Toronto and The University of Toronto Faculty Association*, 2006 http://www.governingcouncil.utoronto.ca/policies/memoagr.htm;
c) University of Toronto Final Report Working Group on Creative Professional Activity, HollenbergReport,1983 http://www.deptmedicine.utoronto.ca/Assets/DeptMed+Digital+Assets/The+Hollenberg+Report.pdf

Faculty of Medicine:

This Manual;

a) *Procedures Manual for Policy for Clinical Faculty*, October 2013, http://medicine.utoronto.ca/sites/default/files/ProceduresManualClinicalFaculty.pdf

b) *Policy for Clinical Faculty*, December 2004, Effective July 1, 2005. http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjul012005.pdf

The department chair should remind all faculty members to update their curricula vitae annually (See Section 4.1).

2.2.2 Establishment of a Teaching Evaluation Committee

Departments in the Faculty of Medicine may establish a Teaching Evaluation Committee to assess teaching for the DPC. This Committee should have more than one member and shall be responsible for providing a written statement on the candidate's teaching effectiveness. The Chair(s) of the Department and DPC should **not** be a member of the Teaching Evaluation Committee. The final assessment of the committee should state that the candidates' Teaching and/or Education has been deemed excellent or competent.

2.2.3 Establishment of the Departmental Promotion Committee (DPC)

The department chair establishes the DPC **on or before March 1st** with no fewer than five members of senior rank (Associate or Full Professor). The department chair may be the chair of the DPC or may delegate this authority to a senior member of the department. The Dean is notified of the membership (via the human resources office). The chair advises departmental faculty members of the DPC membership.

2.2.4 Meeting with the Candidate

The department chair, chair of the DPC, or another delegate should be available to meet with each candidate to review and discuss promotion issues and documentation.

The candidate is responsible for submitting a complete Promotion Dossier, comprised of a collection of documents, using the on-line academic promotion system. When promotion is being proposed based on excellence in Teaching or Creative Professional Activity (CPA), the Teaching and/or CPA sections will form the majority of the overall Promotion Dossier. Extensive cross-referencing between sections should be used.

2.2.5 Letters of Reference

It is the responsiblity of the department chair to solicit and assemble letters of reference. A minimum of three external referee letters are required from specialists in the candidate's field. Internal referees are optional but can be very helpful for providing evidence of impact or to provide a University of Toronto context. Three student opinion letters are required. (*See Section 4.3*).

2.2.6 Faculty with Budgetary and Non-budgetary Cross-Appointments and Status Only Professors

When a candidate for promotion has a budgetary or non-budgetary cross-appointment within the University of Toronto, a letter of reference is required from the Chair/Director of that Department/Unit. If a candidate holds an academic appointment at another university, a letter of reference must be solicited from an appropriate person at the candidate's other university.

2.3 Waiver of External Review

A Waiver of External Review is only applicable to clinical (MD) and status only faculty members who are being considered for promotion to Associate or Full Professor solely on the basis of sustained excellence in teaching and education (see 1.4 on page 5). A Waiver of External Review recognizes the fact that some faculty members may spend a large portion of their time in clinical work and teaching as opposed to scholarship (research/CPA), and therefore, are not necessarily known nationally or internationally. Thus a candidate with a Waiver of External Review is not expected to be recognized at the national nor international level.

The Waiver of External Review should not be used for a candidate where creative professional activity (CPA) is an important component of the evaluation. In the absence of external letters of reference, it is difficult to assess how a candidate's contributions to CPA are perceived at the local, national or international level.

The department chair must submit a request for Waiver of External Review, together with an up-to-date curriculum vitae for the candidate to the Dean, c/o the Human Resources Office **no later than October 20th.** Most departments will need to submit their request earlier to comply with internal deadlines of their own Departmental Promotion Committee (DPC). Approval for a Waiver of External Review may be granted only by the Dean.

3.0 CRITERIA FOR PROMOTION

3.1 Research

3.1.1 Attributes

Successful research leads to the advancement of knowledge through contributions of an original nature. Promotion to Associate or Full Professor based on research requires that the candidate has a record of sustained and current productivity in research and research-related activities. For the criterion of excellent achievement in research to be met in the Faculty of Medicine, the research should result in significant changes in the understanding of basic mechanisms of molecular or cellular function and disease, clinical care, health services delivery or health policy, or the social sciences and humanities as applied to health. The researcher's work should present creative insights, ideas or concepts, and must have yielded a significant quantity of information leading to new understanding. The new information may derive from the invention and/or application of new techniques, novel experimental approaches and/or the identification and formulation of new questions or concepts. It is expected that research advances will be communicated through the publication of papers, reviews, books and other scholarly works. The quality of the scholarship in research will be judged in comparison to peers in the Faculty of Medicine and to others in the same field at peer institutions. Requirements for documentation in each of the areas whose attributes are described below are outlined in further detail in Sections 3.1.3, 4.1 and 4.2.

3.1.1.1 Research Funding

Sources of funding may vary depending on the area of research. Not all research requires external funding. However, as a general rule, the individual seeking promotion on the basis of achievement in research should have a strong and continuing record of external funding commensurate with the type and area of research. Although usually recognition will be given to funding in the form of peer-reviewed grants, other sources may be appropriate. For instance, funding from industry may be a major source available to basic and clinical scientists performing clinical trials, studying new drugs and developing new technologies. This funding is expected to comply with the conflict of interest guidelines in the Faculty of Medicine. Funding from other agencies may be an appropriate source of support for population-based or health services researchers. Whatever the source of funding, the investigator must be able to show that he/she has played a significant intellectual and administrative role in the research as evidenced by the investigator having a role in the design, analysis or publication of the study, or being part of a Steering Committee. For instance, individuals participating in collaborative group grants must be able to provide evidence of intellectual input into the research and not simply a technical contribution.

3.1.1.2 Publications

There must be a sustained record of scientific publications demonstrating that the research has led to a significant source of new information in the field. Publications should appear as articles in major peer-reviewed journals, as books and as book chapters published by academic presses. Published abstracts accepted for presentation at major national and international scientific conferences also provide evidence that the research in progress is being disseminated to the scientific community.

3.1.1.3 Scientific Presentations

Presentations made at national and international meetings recognized as the significant academic venues for presenting research in that area will be considered. Invited presentations and named lectureships are a particular indicator of the individual's reputation outside the university. Invited presentations at other venues such as academic institutions, industry settings and outreach lectures to the lay community should also be included.

3.1.1.4 Participation, Leadership and Mentorship in the Research Community

This category may include a range of additional research-related activities that contribute significantly to the relevant field of study in the scientific community. Examples of such activities include organization of international research meetings or symposia, leadership in research committees at national or international levels, leadership in development or promotion of research infrastructure and support at university, national or international levels, leadership in group grants, participation on peer review grant panels, membership on research ethics or animal care committees, membership on editorial boards of scientific publications, participation in the peer review of scientific manuscripts, membership on consensus conferences, scientific advisory boards and councils, and support and mentorship of young investigators.

3.12 Assessment

According to the *University of Toronto Policy and Procedures Governing Promotions* (http://www.governingcouncil.utoronto.ca/policies/promote.htm, Paragraph 11b), to assess the candidate's scholarly research activity, publications and other evidence must be evaluated. The evidence of scholarship will be contained in the candidate's curriculum vitae (**Section 4.1**) and related documents. The candidate is also responsible for providing copies of selected published works, and giving information about non-written work in an appropriate form, to the Chair, who should arrange for its assessment by specialists in the candidate's field. The candidate may choose to provide unpublished work and work in progress for consideration, but such work will not be communicated outside the University without the candidate's permission. Confidential written assessments of the candidate's work should be obtained from specialists in the candidate's field from outside the University and

whenever possible from inside the University. Where a faculty member is cross-appointed to another department, assessments of scholarship should be sought from that department.

Assessments will be performed on the basis of the originality and importance of the research, its impact on the discipline, and a judgement of the candidate's stature in the field relative to his/her peers locally, nationally and internationally.

3.1.3 Documentation

In general, documentation of the candidate's research activities is provided within the curriculum vitae. Those elements of the curriculum vitae that are of particular relevance to the assessment of scholarship in research are discussed in general terms below, in order of their appearance in the curriculum vitae. A more detailed description of the required format of the curriculum vitae is provided in **Section 4.1**.

3.1.3.1 Professional Affiliations and Activities

In this section the candidate is asked to provide relevant information about additional participation, leadership and mentorship activities in the research community. A brief elaboration of the candidate's role in each activity listed should be provided as appropriate. Examples of relevant activities include, but are not restricted to:

- Organization of national and/or international research meetings or symposia
- Leadership role in research committees at national or international levels.
- Leadership in the development or promotion of research infrastructure and support at university, national or international levels
- Leadership in group grants
- Participation on peer review grant panels
- Chairing or participating on a research ethics or animal care committee
- Membership on editorial boards
- Membership in scientific societies
- Record of participation in the peer review of scientific manuscripts
- Membership on consensus conferences
- Record of support and mentorship of younger investigators

3.1.3.2 Research Statement

The candidate should prepare a one to two page statement of research activities, summarizing the research program(s) and providing a narrative describing the importance and impact of the research. The Research Statement in the curriculum vitae is a shorter general statement.

3.1.3.3 Research Funding

The candidate should list and provide the value of all sources of funding since the last promotion, including peer-reviewed and industrial grants and contracts, as well as paid fellowship, scientist and research chair awards. The candidate's status on grants and contracts should be specified, such as Principal Investigator (**PI**), Co-Principal Investigator (**Co-PI**), Co-Investigator (**Co-I**) or Collaborator (**COLL**).

3.1.3.4 Patents Awarded

Provisional and full patents applied for, pending or held since the last promotion should be listed. These should be cross-referenced in the CPA section of the document, if one exists.

3.1.3.5 Publications

In preparing the publication list, the following points should be kept in mind:

- Include h-Index and total number of citations
- Refereed and non-refereed publications should be listed separately
- Published papers and papers in press should be listed separately from submitted papers
- Abstracts should be listed separately from other publications
- Books, edited books and book chapters should be listed separately
- For each publication, the candidate must clearly indicate his/her level of contribution for each publication – as the Senior Responsible Author (**SRA**), the Principal Author (**PA**), the Co-Principal Author (**Co-PA**), or a Collaborator (**COLL**)/Co-Author(CA). Further definitions of these distinctions are provided in Section 4.1.
- Where authorship includes trainees, the candidate should indicate the supervisory role, e.g. primary supervisor, co-supervisor, member of graduate committee, etc.
- Unpublished work and work in progress may also be submitted for consideration.
- The candidate should list and submit his or her five most important publications since the last promotion, with a brief explanation of the impact of each of these publications on the field. Copies of these publications should be attached to the Promotions Dossier.

3.1.3.6 Presentations and Special Lectures

In documenting presentations and lectures, the candidate should specify the nature of the presentation and the audience, making a distinction between invited lectures – including keynote lectures, plenary lectures and concurrent sessions at scientific meetings – and presentations of accepted abstracts of original research. In instances of multi-authored abstract presentations, the candidate should also indicate whether he/she was the presenter or whether the presenter was a trainee directly supervised by the candidate.

3.2 Creative Professional Activity (CPA)

3.2.1 Attributes

As mentioned in Section 3.1, according to the University Policy (Staff Policy Number 3.01.05, paragraph 11a) creative professional activity (CPA) is included in scholarly activities to be considered in promotion decisions. The Faculty of Medicine recognizes CPA under the following three broad categories.

3.2.1.1 Professional Innovation and Creative Excellence

Professional innovation in the Faculty of Medicine may include the making or developing of an invention, development of new techniques, conceptual innovations, or educational programs inside or outside the University (e.g. continuing medical education or patient education). Scholarly work focused on ***quality improvement (QI)*** is a specific type of CPA. Scholarly approaches apply QI science rigorously to implement a change and evaluate improvements in health care.

QI which can be particularly challenging due to the complex nature of health care or then often involvement of multiple stakeholders. It is recognized that activities such as, chairing a provincial Ministry of Health task force for the development of new services based on evidence or other initiatives that aim to improve current health services, might be synergistic with the candidate's academic work and not just examples of 'service'. Thus, the CPA dossier for a candidate focused on QI work may weave together evidence of impact beyond traditional metrics such as publications and grants, including some committee work, invited presentations and documentation attesting to interest in emulating the candidate's QI work at other institutions.

To demonstrate professional innovation, the candidate must show an instrumental role in the development, introduction and dissemination of an invention, a new technique, a conceptual innovation, a QI or an educational program.

Creative excellence, in such forms such as biomedical art, communications media, and video presentations, may be targeted at various audiences from the lay public to health care professionals.

3.2.1.2 Contributions to the Development of Professional Practices

In this category, demonstration of innovation and exemplary practice will be in the form of leadership in the profession, or in professional societies, associations, or organizations that has influenced standards or enhanced the effectiveness of the discipline. Membership or the holding of office in professional associations is not itself considered evidence of creative professional activity. Sustained leadership and

setting of standards for the profession are the principal criteria to be evaluated. Both internal and external assessment should be sought.

(Modified from the Hollenberg Report, 1983[3])

The candidate must demonstrate leadership in the profession, professional organizations, government or regulatory agencies that has influenced standards and/or enhanced the effectiveness of the discipline. Membership and holding office in itself is not considered evidence of CPA.

Examples of contributions to the development of professional practice may include (but are not limited to) guideline development, health policy development, government policy, community development, international health and development, consensus conference statements, regulatory committees, and setting of standards.

3.2.1.3 Exemplary Professional Practice

Exemplary practice is that which is fit to be emulated; is illustrative to students and peers; establishes the professional as an exemplar or role-model for the profession; or shows the individual to be a professional whose behaviour, style, ethics, standards, and method of practice are such that students and peers should be exposed to them and encouraged to emulate them.

(Modified from the Hollenberg Report, 1983)

To demonstrate exemplary professional practice, the candidate must show that his or her practice is recognized as exemplary by peers and has been emulated or otherwise had an impact on practice.

In assessing CPA in the Faculty of Medicine, the following should be kept in mind:

- Being a *competent* health care practitioner, while valuable to the public and profession, and for educational role-modelling, is not sufficient to meet the criterion of excellence in CPA.
- The Faculty expects that most candidates for promotion will be engaged to some degree in CPA as part of their scholarly life. Such baseline activity does not constitute grounds for promotion.
- CPA in Education can include:

[3] http://aapm.utoronto.ca/sites/aapm.utoronto.ca/files/attachments/reviews/The%20Hollenberg%20Report%20web%20version.pdf

- Instructional innovation/creative excellence: teaching techniques, educational innovations, curriculum development, course planning, evaluation development.
- Leadership in the development of professional practice in health professional education.

3.2.2. Assessment

- CPA may be linked to Research to provide an overall assessment of scholarly activity.
- Contributions must be related to the candidate's discipline and relevant to his/her appointment at the University of Toronto.
- There should be evidence of sustained and current activity.
- The focus should be on creativity, innovation, excellence and impact on the profession, not on the quantity of achievement.
- There must be evidence that the activity has changed policy-making, organizational decision-making, or clinical practice beyond the candidate's own institution or practice setting, including when the target audience is the general public.
- Contributions will not be discounted because they have led to commercial gain, but there must be evidence of scholarship and impact on clinical practice.
- Due to the variable activities included under CPA, there may be diverse, and sometimes innovative markers used to indicate the impact of the CPA. Evidence upon which CPA will be evaluated may include:
  - Scholarly publications: papers, books, chapters, monographs
  - Non peer-reviewed and lay publications
  - Invitations to scholarly meetings or workshops
  - Invitations to lay meetings or talks/interviews with media and lay publications
  - Invitations as a visiting professor or scholar
  - Guidelines and consensus conference proceedings
  - Development of health policies
  - Presentations to regulatory bodies, governments, etc.
  - Evaluation reports of scholarly programs
  - Evidence of dissemination of educational innovation through adoption or incorporation either within or outside the university
  - Evidence of leadership that has influenced standards and /or enhanced the effectiveness of health professional education
  - Creation of media (e.g., websites, CDs)
  - Roles in professional organizations (there must be documentation of the role as to whether the candidate is a leader or a participant)

- Contributions to editorial boards of peer-reviewed journals (including Editor-in-Chief, Associate Editor, and board member)
- Documentation from an external review
- Unsolicited letters
- Awards or recognition for CPA role by the profession or by groups outside of the profession
- Media reports documenting achievement or demonstrating the importance of the role played
- Grant and contract record, including evidence of impact on activity of industry clients
- Innovation and entrepreneurial activity, as evidenced by new products or new ventures launched or assisted, licensed patents
- Technology transfer
- Knowledge transfer

NOTE: Quality Improvement (QI)

QI work may have the chief goal of impacting provincial healthcare delivery. Most Canadian health care is provincially organized and delivered by Provincial Ministries of Health, and there can be specific barriers to uptake that differ from clinical and biomedical research. For example, the implementation of a home dialysis program or novel model of care for patients with opiate use disorder face different political and logistic barriers across different provinces.

The successful impact of a Faculty member's QI intervention within Ontario may lead to invitations to come to other provinces. However, this may not be the case depending on the nature of the QI. Therefore, evidence of dissemination and impact at the provincial level for some QI projects may appropriately satisfy the criterion of *widespread impact* and can be considered equivalent to that of the national level for other forms of scholarship.

3.2.3 Documentation

3.2.3.1 Candidate's Statement

The candidate should document Creative Professional Activity in three sections:

1. *A brief outline of the CPA*
   Use of bullet points is encouraged. For each, indicate which of the three categories of section 3.2.1 best describes the activity (professional innovation/creative excellence; development of professional practice; exemplary professional practice).

2. *A statement of the importance of the achievements in CPA*
   Comment on how the contributions of the candidate have affected her/his discipline, or the health of individuals and populations, or otherwise affected knowledge, attitudes, beliefs or practices in defined target audiences.

3. *Supporting detailed documentation*
   Provide copies of relevant documents, detailed descriptions of techniques or devices (including photos or videos if appropriate,) outlines of programs, etc.

NOTE: Quality Improvement (QI)

For QI, the generation of multiple papers from a single QI project may not occur; a single publication in a scholarly journal may be an appropriate level of dissemination. **In the case where a QI project has not been published in a scholarly journal, it is strongly recommended that a QI report be submitted to support documentation of impact** in the candidate's CPA dossier to facilitate the review by external referees and the Decanal committee. The Standards for Quality Improvement Reporting Excellence (SQUIRE) provides a template outlining key content areas for description of the QI, the scholarship involved and its impact. (**See http://www.squire-statement.org/**)

NOTE: When there are overlaps between activity in Creative Professional Activity and Teaching & Education, list the relevant activities in *both* sections and cross-reference. **ONLY ONE SET OF ATTACHMENTS OR DOCUMENTS IS NEEDED.**

3.2.3.2 Documentation from Others

Emphasis will be given to documentation or evidence of the impact of the CPA including, but not limited to, evaluations, documentation from external reviews, internal and external letters of reference indicating the creativity and the impact of innovation or QI, evidence of emulation and adoption by peers, press clippings, dates of invitations to speak, and reviews by media.

Letters of reference from national and international leaders in the candidate's field of activity will be an important part of the documentation for CPA. These letters are requested by the DPC. The candidate provides a list of names of those who could appropriately adjudicate their accomplishments, the DPC and Chair add additional names, and letters are solicited as per Section 4.3.1.

NOTE: Quality Improvement (QI)

For QI, ***it is recommended that at least one external referee be a known expert in QI.*** External referees should be invited to comment on the scholarship in the approach to the QI and on the evidence of external impact. For example, a letter documenting that a QI that has been adopted at another hospital or jurisdiction can be helpful. Similarly, an internal referee can provide evidence of impact by describing the emulation/replication elsewhere of a faculty member's local QI intervention. Examples may include descriptions of uptake and impacts to practice by other hospitals, recognizing that how we deliver care across clinical departments is at least as challenging as spreading a new approach to similar clinical settings in other cities

3.3 Teaching and Education

3.3.1 Attributes

Promotion to Associate Professor and Professor requires that the candidate has contributed in a meaningful way to the achievement of the Faculty's and the University's educational mission. The nature, quantity and quality of these contributions will be evaluated with reference to departmental and hospital norms, and expectations consistent with job descriptions and career pathways, and academic, and where applicable, clinical responsibilities.

In the Faculty of Medicine, teaching and education can encompass the following components:

- formal teaching (situations in which responsibilities and expectations for both the teacher and the learner are set in advance, such as lecturing, activity in seminars and tutorials, individual and group discussions, laboratory teaching, and clinical teaching) and informal teaching that may be more spontaneous (e.g., role modelling and mentoring)
- curriculum and course development, and development of effective educational materials
- application of information technologies for local and distance education
- educational leadership and administration
- faculty development
- scholarship in education
- research in education
- quality assurance and evaluation of educational process and outcomes
- assessment of learners

In the Faculty of Medicine, teachers and educators can show evidence of excellent or competent at one or more of the following levels:

1. Undergraduate education
2. Graduate education

3. Postgraduate medical education
4. Post-doctoral training
5. Continuing education and faculty development
6. Patient/public education

Note: Details of teaching and teaching evaluations must be part of the Dossier of each candidate for promotion, because each candidate must be at least an effective teacher http://www.governingcouncil.utoronto.ca/policies/promote.htm, paragraph 12a).

3.3.1.1. Excellence in Education

Candidates seeking promotion on the basis of excellence in education and teaching must demonstrate significant and high quality contributions to teaching and/or other education related activities in at least one of the following:

- Sustained excellence in teaching. Generally, a number of years are required to establish a noticeable presence and reputation as a teacher and as a valued contributor to other education activities. No minimum number of years at a specific rank is specified.
- Participation in educational or curriculum development activities such as the planning of new curriculum or educational programs, and the production of new educational materials such as textbooks, syllabi, videotapes or computer programs. The candidate should have been a significant participant in the planning and development of major curricular or educational offerings and/or in the development of original educational materials (texts, syllabi, video materials, computer programs etc..) and/or educational innovation. External educational peer review processes may be utilized to provide evidence to the DPC and DecPC.
- Contribution to the field of health professional education, through participation in professional associations dedicated to educational development, research in education and contributions to the education literature. For promotion to professor, evidence is required of a national/international reputation in the field of health professional education due to sustained participation in research in education, contributions to the medical/health professions educational literature or active leadership in professional associations dedicated to educational development.
- Education leadership in faculty, department, division or hospital. This includes significant roles in educational administration where, under the candidate's direct leadership, innovative programmes or curriculum have been developed.

3.3.1.2 Competence in Teaching

An effective teacher will have the following attributes. No one person is expected to have all of these attributes. Candidates seeking promotion on the basis of excellence in teaching would be expected to show greater evidence of three or more of these attributes:

- Mastery of the subject area

- Skill in one or more of: lecturing to large groups, facilitation of small groups, one-to-one teaching, and supervision and mentoring
    - The ability to effectively employ appropriate educational methods
    - The ability to stimulate and challenge the intellectual capacity of learners
    - The ability to influence students' intellectual development and development of critical skills
    - Be a professional and educational role model
    - Professionalism in teaching that includes respect for students and colleagues, sensitivity to diversity; ability for self-assessment and participation in ongoing professional development and accessibility to learners.

3.3.2 Assessment

The following criteria should be applied by the Departmental Promotion Committee relative to the norm for the department or division and the nature of the teaching or other educational achievement. It is unlikely that all the criteria will apply to any one individual.

Teaching/Educational Activity

- Quantity of teaching, i.e. number of courses, hours of teaching time/year
- Evidence of sustained contribution over time
- Accessibility to students
- Comparative information, i.e. Is the quantity of teaching consistent with expected norms for the department?
    - The evidence of quantity should include formal teaching records but can also include the candidate's own records of informal teaching, coaching, remediation, open office hours and other relevant activities
- Where applicable, external (Faculty, University, national, international) recognition of teaching or education-related honours and awards.

Quality of Teaching/Educational Contribution

- Evidence of mastery of the subject area
- Evidence of skill in communicating
- Evidence of ability to stimulate and challenge the intellectual capacity of learners
- Evidence of ability to influence the intellectual development and critical skills development of the learners
    - The evidence for quality of educational contribution may come from a variety of sources; and should include teaching scores and assessments, comments on the quality and impact of teaching narrative comments, student letters, peer observations, etc.

    - Where student assessments are included learner assessments should be representative of the learner population
    - Where possible, include evidence from colleagues who have observed the candidate teaching
- Internal (hospital, division, department) recognition of teaching through teaching awards

Educational Innovation and Development

- Evidence of contributions to administrative and organizational aspects of education, including course design, course evaluation, etc.
- Development of new courses or curricula
- Creation of new teaching resources and materials
- Development of innovative approaches to teaching
- Development of new or improved methods of evaluation
    - Evidence may include examples of new materials, and evidence of their effectiveness
- Contributions to national professional examinations and standards

Educational Leadership

- Leadership may be at local, departmental, faculty or university wide, or national and international
- Evidence of educational consultancies or recognition of expertise and leadership by other jurisdictions
- Participation in site visits for accreditation at a national or international level
    - Evidence should include description of the role, the time in that position and major accomplishments

Educational Scholarship

- Contributions to the educational field in the form of research and scholarship
- Participation, contribution and impact on national and international organisations or conferences related to education
- Evidence of impact on scholarship in the field
    - Evidence should include records of publications, academic contributions to meetings, invited or plenary addresses to learned societies.

3.3.3 Documentation

3.3.3.1 Candidate's Responsibility

Preparation of the Teaching and Education section of the Promotions Dossier is the responsibility of the candidate. Not all of these components will be relevant for all candidates. Candidates who are requesting promotion on the basis of excellence in education and teaching will normally include information on several of the following components:

- A statement of the candidate's approach to teaching, including an assessment of the impact of teaching activities
- A listing of all teaching and assessment activities (organized by teaching level), with number of hours and audience numbers involved (see Data Summary Table 7)
- Supporting documentation related to teaching and education. Photocopies of all course and lecture outlines, bibliographies, and letters of invitation to teach at other centres
- Supporting documentation related to the assessment of teaching. Summaries of all evaluations, results of peer assessments of teaching effectiveness, solicited and unsolicited letters from colleagues and students, letters from senior members of the Faculty of Medicine who have made personal observations at national meetings, continuing education courses and/or seminars and symposia
- A listing of all activities related to the administration, organizational and developmental aspects of education (organized by level) with a description of the nature and extent of the candidate's involvement and level of responsibility
- Documentation of participation in educational research activities (for example, publications, abstracts, presentations and/or grants) as well as scholarly writing relating to education
- Documentation of participation in national and international organizations whose activities relate to education research and development
- Documentation of participation at national and international conferences and workshops relating to education research and development
- Documentation of external consultancies relating to education research and development
- Documentation of effectiveness in mentoring or advising in education and teaching
- A listing of honours and awards related to teaching and education

3.3.3.2 Department's Responsibility

The department chair or, where appropriate, a designate, is responsible for collecting evaluation data from students and colleagues/peers of the candidate.

In situations where medical teaching is being assessed, information may be available from Academy Directors, Course Directors, Interdisciplinary Subject Supervisors, Chiefs of Service, Hospital Teaching Coordinators, Speciality and Divisional Coordinators and /or the Offices of the Vice Deans for Undergraduate Medical and Postgraduate Medical Education, Continuing Education and Professional Development, and the Centre for Faculty Development.

Teaching evaluations conducted in departments generally should represent the opinion of the Teaching Evaluation Committee and/or the DPC that has reviewed teaching evaluations and Dossiers of candidates, including summaries of the numbers of hours, the courses, and the means of student evaluations. Clinical or research supervision may be included separately from the courses and lectures. *The comparison of each candidate with her/his peers is very useful*. Evidence from administrators (e.g. course coordinators) to corroborate or supplement descriptions of teaching, graduate student supervision and mentoring is also useful. Information for documentation of teaching/education should be gathered from appropriately chosen multiple sources.

In addition, a concise assessment by the department chair of the quantity and quality of teaching performed and the opportunities available to teach within the department should be included in the Chair's letter.

All teaching scores since the last promotion (i.e., scores on assessment forms that are completed by students to evaluate their teacher/tutor) for individual courses taught, clerk, and resident evaluations should be provided. These should be summarized in a table or graph. The scores for the individual should be shown in relation to other department members' scores.

An explanation of the department's quantitative and qualitative methods of documenting teaching competence and of the ranking system regarding teaching should be detailed.

For candidates being recommended for promotion based on excellent teaching, the Chair should solicit several letters of reference specifically addressing the teaching skills of the candidate. Note the following points about such letters:

a) Letters from colleagues and students who have had opportunities to observe the candidate in teaching situations attesting to high quality and effectiveness of teaching will carry weight, especially if these colleagues are outside the candidate's own group. For example, a colleague in the same specialty in a different hospital or a member of another department could offer a useful appraisal. The head of the University Division or the chief of the department at another hospital would be ideal referees.

b) Letters that rank the candidate's teaching in comparison to peers are useful. A letter providing information on the ranking of Professor X's teaching in the department is more useful than the simple statement that the teaching is of high quality.

c) Letters from senior, respected members of the Faculty of Medicine who have made personal observations at national meetings, continuing education courses and seminars and symposia are useful.

If promotion is being sought on the basis of Excellence in Teaching, *all* supporting documentation should be included in the Teaching and Education section of the Promotion

Dossier rather than just summarised documentation and assessment. This includes all student evaluations of teaching (which may be aggregated in some meaningful way), results of peer assessments of teaching competence, course and lecture outlines, letters of invitation to teach at other centres, unsolicited testimonial letters, evidence of competence, etc.

3.4 Administrative Service

3.4.1 Attributes

According to the *University of Toronto Policy and Procedures Governing Promotions* (http://www.governingcouncil.utoronto.ca/policies/promote.htm, paragraph 13a):

> *Service to the University means primarily administrative or committee work within the University. Consideration will also be given to activities outside the University, which further the scholarly and educational goals of the University. Such activities might include service to professional societies directly related to the candidate's discipline, continuing-education activities, work with professional, technical or scholarly organizations or scholarly publications, and membership on or service to governmental committees and commissions. Outside activities are not meant to include general service to the community unrelated to the candidate's scholarly or teaching activities, however praiseworthy such service may be (paragraph 13a).*

Service within the University and to external agencies forms an important and often time-consuming aspect of many faculty members' academic careers. In providing this service, they contribute to the continued excellence of the academic environment and allow the University a voice and visibility in external agencies. Although service in itself cannot be the main criteria for promotion, Promotions Committees may consider service as defined above in support of achievements in Teaching and Education or Scholarship (Research and/or CPA). It is the responsibility of the candidate to clearly establish the link between such service and his or her academic mandate and responsibilities. The candidate may choose to include documentation of Service Activities in their dossier in one of two ways: as part of the sections on Creative Professional Activities and/or Teaching and Education, or as a separate section. In either case, the documentation should include a detailed description of the service activities as well as an assessment of the impact of these activities on academic, professional, government or other communities.

Significant service contributions may include but are not limited to:

- Service to the department that goes beyond what is normally expected of a faculty member
- Service to the Faculty of Medicine (committee chair, lead coordinator of a special project, lead developer of faculty policies)
- Service to the University (committee chair, lead coordinator of a special project, significant role in developing university policies or initiatives)

- Service to the professional, clinical or research discipline (president of national or international organizations, committee chair, conference organizer, policy development)
- Service to municipal, provincial or federal governments or non-government organizations

3.4.2 Assessment

According to *University of Toronto Policy and Procedures Governing Promotion*:

> *"When appropriate, written assessments of the candidate's service to the University and to learned societies or professional associations which relate to the candidate's academic discipline and scholarly or professional activities will be prepared and presented to the Promotions committee. When a candidate for promotion is or has been cross-appointed, assessments will be sought from all of the divisions in which the candidate has served and should be taken fully into account by the Promotions Committee. (*http://www.governingcouncil.utoronto.ca/policies/promote.htm*, paragraph 13b).*

- Contributions must be related to the candidate's discipline or profession and relevant to his/her appointment at the University of Toronto
- There should be evidence of sustained and current activity
- The focus should be on the impact of the service activities, not only the quantity of activities
- There must be evidence that the service activities have had a significant impact within the university community or within the wider community, which may be discipline or profession specific
- Due to the variable activities included under Service, there may be diverse, and sometimes innovative markers used to indicate the impact of Service. Such evidence may include:
    - Establishment of new programs within the Faculty or University
    - Successful fundraising activities that benefit the department, faculty or university
    - Development of new or revised departmental, faculty or university policies and procedures
    - Innovative initiatives as Chair of a department
    - Invitations to serve a leadership function in the Faculty or University
    - Representation and active involvement on Boards and other organizational committees
    - Significant contributions while serving in a leadership role in discipline or professional organizations
    - Significant contributions to the development of policies or procedures within a discipline, profession or relevant organization

3.4.3 Documentation

Candidate's statement:

a) A brief outline of the service activities: Use of bullet points is encouraged.
b) A statement of the impact of the service achievements: Comment on how your contributions have affected your department, the Faculty of Medicine, the University, your discipline, the professional community or other targeted communities.
c) Supporting detailed documentation: provide copies of relevant documents or other documentation that demonstrate the nature and impact of your service achievements.

Documentation from others:

a) Documentation or evidence of the impact of the service achievements including, but not limited to, evaluations, documentation from external reviews, internal and external letters of reference, etc.
b) Letters of reference from national and international leaders in the discipline, professional or policy organization will be an important part of the documentation.

4.0. PREPARATION OF THE PROMOTION DOSSIER

The *University of Toronto Policy and Procedures Governing Promotions* http://www.governingcouncil.utoronto.ca/policies/promote.htm, paragraph 15) stresses that the fullest possible documentation should be made available to the DPC. Assembly of the documents will be the responsibility of the department chair.

The preparation of the curriculum vitae (*University of Toronto Policy and Procedures Governing Promotion* http://www.governingcouncil.utoronto.ca/policies/promote.htm paragraph 16) is the responsibility of the candidate.

4.1 Curriculum Vitae

It is the responsibility of the candidate to prepare her/his curriculum vitae in accordance with University Policy (Manual of Staff Policies Academic Librarian, Number 3.01.05, paragraph 16). The organization of the curriculum vitae should be as noted below. The detailed CV format to be used is found at: http://medicine.utoronto.ca/faculty-staff/faculty-appointments-and-promotions

A. Date of Preparation

B. Biographical Information

Education:

- Degree/year/institution/specialty

- Postgraduate, Research and Specialty Training
- Qualifications, Certifications and Licenses

***Employment*:** List ranks and year appointed; all cross-appointments and number of years in each appointment; date of award of tenure (if applicable); all research and teaching appointments held and other relevant experiences giving dates and institutions.

- Current Appointments
- Previous Appointments

Honours and Career Awards:

- Distinctions and Research Awards
- Teaching Awards
- Student/Trainee Awards

Professional Affiliations and Activities:

- Professional Associations
- Administrative Activities
- Peer Review Activities
- Other Research and Professional Activities

C. Academic Profile

1. Research Statement (see Section 3.1.3.2).
2. Teaching Philosophy: (see 3.3.3.1).
3. Creative Professional Activities Statement (see section 3.2.3.1).

D. Research Funding: Grants, contracts, fellowships held or awarded including: name of agency; date and duration of award; project title; total amount of funding awarded; List principal investigator; co-investigators and collaborators as they are cited on the grant, and indicate your role in the grant (principal investigator, co-investigator, or collaborator).

Grants, Contacts and Clinical Trials
PEER-REVIEWED GRANTS
NON-PEER-REVIEWED GRANTS

Salary Support and Other Funding
PERSONAL SALARY SUPPORT
TRAINEE SALARY SUPPORT
OTHER FUNDING

E. Publications

H-Index and Citation Report Please include a) Total number of citations; b) h-Index (see Appendix 6.0 for instructions for determining your h-Index)

1. Most Significant Publications
2. Peer-Reviewed Publications

3. Non Peer-Reviewed Publications
4. Submitted Publications

Each list of publications should be subdivided into works published or accepted for publication, and works submitted for publication.

All authors should be indicated in the order in which they appear in the publication, followed by Title, Journal, Volume #, inclusive page #(s) and year. For books and book chapters, include editors, publisher and place of publication.

For each peer-reviewed publication, indicate the level of contribution of the candidate, according to the following categories:

- **The Senior Responsible Author (SRA)** initiates the direction of investigation, establishes the laboratory or setting in which the project is conducted, obtains the funding for the study, plays a major role in the data analysis and preparation of the manuscript, and assumes overall responsibility for publication of the manuscript in its final form. In large multi-site collaborations, a case may be made that there is more than one Senior Responsible Author. However, this will be rare and each person must meet the definition provided here.
- The **Principal Author (PA)** carries out the actual research and undertakes the data analysis and preparation of the manuscript.
- The **Co-principal Author (Co-PA)** has a role in experimental design, and an active role in carrying out the research, is involved in data analysis and preparation of the manuscript. The project would be compromised seriously without the co-principal author.
- A **Collaborator (COLL)** or **Co-Author (CA)** contributes experimental material or assays to the study, but does not have a major conceptual role in the study or the publication.

List the **FIVE** most significant publications **since last promotion**, providing a brief description of the significance of each publication to the field. Inclusion of the actual publication is required in the dossier.

F. *Patents Awarded and Applied for since date of last promotion (see Section 3.1.4)*.

G. *Presentations and Lectures*

List category and geographic scope based on definitions below:

Category

- Papers/Posters/Abstracts presented at meetings and symposia, list date and location.
- Invited Lectures, see section 3.1.3.6 for further detail.
- Media appearances.

Geographic Scope

- **Local:** During the time of appointment at U of T this category includes activities (e.g. meetings, conferences) at or arranged by U of T and its affiliated institutions and organizations.
- **Provincial/Regional:** During the time of appointment at U of T this category includes activities (e.g. meetings, conferences) based on invitations by Ontario institutions apart from U of T and its affiliates.
- **National:** During the time of appointment at U of T this category includes activities (e.g. meetings, conferences) in Canada based on invitations from institutions outside Ontario. If a national activity happens to be held in Toronto (or other city where you were appointed) include it as a national, not a local activity.
- **International:** During the time of appointment at U of T this category includes activities (e.g. meetings, conferences) in Canada based on invitations from institutions outside Canada based on organizations not affiliated with U of T. If an international activity happens to be held in Toronto (or other city where you were appointed) include it as international, not a local activity.

H. Teaching and Design

1. Summary of Teaching & Education: A brief summary of teaching and education accomplishments.
2. Innovations and Development in Teaching and Education.

I. Research Supervision: List student name, thesis or research project title, dates of supervision and your role (e.g. supervisor, co-supervisor, or committee member)

- Masters Students
- Doctoral Students
- Professional Masters Students
- Postdoctoral Students
- Postgraduate Students
- Project Students
- Summer Students
- CREMS Students

4.2 Documentation of Activities

Candidates will document all relevant activities in each of the following four areas. Not all candidates will have activity in each area; some may have activity in only one.

- **Documentation of Research** is detailed in Section 3.1.3 of this manual. Candidates must submit a research statement.
  NOTE: Most research activity will be covered in the curriculum vitae.
- **Documentation of Creative Professional Activity** is detailed in Section 3.2.3 of this manual.
- **Documentation of Teaching and Education** is detailed in Section 3.3.3 of this manual.
- **Documentation of Administrative Service** is detailed in Section 3.4.3 of this manual.

4.3 Letters of Reference

4.3.1 Choosing Referees and Students

The candidate will be invited to nominate several external and internal referees. The Chair and the Departmental Promotion Committee will add additional names. The Chair will solicit letters from at least three and usually not more than six external referees, including at least one suggested by the Chair, one by the candidate and one suggested by the DPC. Three to six internal referees may be similarly selected. The rank (or equivalent) of the external and internal referees MUST be equal to or greater than the rank sought by the candidate being considered for promotion. The candidate will also be invited to provide a list of several current and former students and trainees. The Chair and the DPC may add to the student/trainee list as appropriate.

The Chair ensures that referees are provided with the candidate's curriculum vitae, including the candidate's five most significant publications, relevant documentation, and with a copy of the University of Toronto Policy and Procedures Governing Promotions, http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppapr201980.pdf

Referees will receive an email with instructions on uploading their assessment to the on-line academic promotion system. Where the referees do not upload their assessments, they must send a copy by email of their letter to the departmental promotions administrator who will upload it to the on-line academic promotion system.

External referees are individuals external to the University of Toronto and its affiliated hospitals.

External referees should be individuals of appropriate stature and expertise who are able to judge the quality and impact of the candidate's work. They are requested specifically to comment on and evaluate the five most significant publications in terms of impact on the discipline.

Internal referees are individuals at the University of Toronto who provide a Faculty of Medicine /University of Toronto context to their review. The inclusion of internal referees is optional, however, they can be very important for providing evidence of excellence and impact around a CPA, including for Quality Improvement (QI), or in relation to teaching or an Education innovation. Internal referees usually neither have a prime nor cross-appointment in the candidate's department. However, where the department is comprised of more than three divisions, or equivalent (eg. Medicine, Surgery, DFCM), the internal referee may be solicited from another division, or equivalent, within the same department. Department chairs should not be asked to be an internal referee for any candidate. Members of the Decanal Promotions Committee are not to provide internal referee assessments.

Conflict of Interest

External and internal referees should not be former students or supervisors. These individuals are excluded for life and cannot serve at any time as a referee. Teachers who are familiar with the candidate are excluded as well. Collaborators of the candidate within the last five years, should not be included as referees. However, a letter from a close collaborator or mentor, especially addressing the creative independence of the candidate, is useful. Letters from referees who are active or recent collaborators, though acceptable, should be clearly identified as such. These are considered to be "colleague" letters and are intended to provide an additional assessment of the candidate.

Referees should not have a personal relationship with the candidate nor any potential career advancement relationship. From time to time a member of the Decanal Promotions Committee may feel that the contents of a review letter suggests a potential conflict of interest. These letters will be treated as colleague letters and a request to the Chair will be made for a replacement letter if less than three letters are available.

Student and trainee opinion letters should be obtained from current or former students taught, trained, supervised and/or mentored by the candidate since the last promotion.

All reviewers suggested by the candidate, the DPC and the Chair and sent requests by the Chair should be identified in the checklist (Table 1 and Table 2, page 50). Copies of all letters sent out are required to be submitted with the dossier including those from people who have declined to review.

4.3.2 Instructions to Referees and Students

The Chair will provide referees with the specific criteria for promotion. Refer to the sample letters on the following pages when writing to referees and soliciting opionions on the teaching from students.

In the assessment of creative professional activity with community or stakeholder involvement, letters should be solicited from community agencies as well, specifically requesting: a description of the role of the candidate in the CPA; an assessment of the impact of the CPA commenting on local, provincial, national and international impact and comments on the novelty of CPA.

For **Quality Improvement projects (QI)**, it is recommended that at least one external referee be a known expert in QI. External referees should be invited to comment on the scholarship in the approach to the QI and on the evidence of external impact. For example, a letter documenting that a QI that has been adopted at another hospital or jurisdiction can be helpful. Similarly, an internal referee can provide evidence of impact by describing the emulation/replication elsewhere of a faculty member's local QI intervention. Examples may include descriptions of uptake and impacts to practice by other hospitals, recognizing that how we deliver care across clinical departments is at least as challenging as spreading a new approach to similar clinical settings in other cities.

Referees are instructed to submit their responses using the on-line academic promotion system. All letters should be on letterhead, dated, and signed electronically.

Students who provide their written opinion are instructed to submit their responses to the department via an e-mail attachment.

4.3.3 Inclusion in the Dossier

The DPC and the department chair shall not select the letters to be included in the Promotion Dossiers. All letters of request for review and all letters received must be included in the Promotion Dossier. In cases where referees are not using the on-line academic promotion system, a copy of the letter must be provided to the Dean, via the Faculty of Medicine's HR office.

4.3.4 Sample Letter to External Referees Requesting Written Assessment

Dear:

I am writing to request your written assessment of Professor _____, of the Department of _____ who is being considered for promotion to _____at the University of Toronto. Your assessment will form part of the dossier upon which a decision will be made to grant or deny promotion. While a summary of your comments will be shared with the candidate, your identity will be held in strict confidence. Please also comment on any collaboration or other interactions you may have currently or have had in the past five years with the candidate. Referees should not be former students or supervisors of the candidate.

The University of Toronto Policy and Procedures on Promotions requests referees to comment solely on the achievements of Professor _____ against the criteria as set out in the Policy. A copy of the Policy is enclosed. **The University of Toronto asks you not for a recommendation for or against promotion but rather for your judgment as to whether or not Professor _____'s scholarly and professional work meets the criteria of excellent or of competent.**

In reaching a decision regarding promotion, the committee will consider the candidate's accomplishments in research, creative professional activity, and in teaching and education. An assessment of excellent or competent in each of these areas is requested and a statement to that effect must be included. In addition, the committee may consider the candidate's accomplishments in administration and service.

A. Specific appraisal of significant items, in addition to an overall judgment of the quantity and quality of the body of work in relation to the discipline's norms, would greatly assist the committee.
B. In particular, the committee would appreciate your comments on the main contributions of the candidate and your comments on the originality and importance of her/his research or creative professional activity effort and its impact on the discipline.
C. The committee also would like to read your frank judgement of the candidate's stature in the field, nationally and internationally.
D. Although external referees normally are not expected to comment upon teaching competence, you may wish to include comments based on your observation of the candidate in other settings.
E. Similarly, if appropriate, you may wish to include comments on the extent and quality of the candidate's administrative or service contributions to scientific and/or professional organizations.

Please respond to *email of department* if you are able to act as a referee. We will then create an account in our on-line academic promotion system and you will receive instructions by email on where to review the candidate's dossier and how to electronically submit your assessment.

Thank you for taking the time to contribute to the promotions process at The University of Toronto.

Yours sincerely,

Chair, Department of _____

Enclosure: University of Toronto Policy and Procedures Governing Promotions

4.3.5 Sample Letter to Internal Referees Requesting Written Assessment

Dear:

I am writing to request your written assessment of Professor _____, of the Department of _____ who is being considered for promotion to _____at the University of Toronto. Your assessment will form part of the dossier upon which a decision will be made to grant or deny promotion. While a summary of your comments will be shared with the candidate, your identity will be held in strict confidence. Please comment also on any collaboration or other interactions you may have currently or have had in the past five years with the candidate. Referees should not be former students or supervisors of the candidate.

The University Policy and Procedures on Promotions requests referees to comment solely on the achievements of Professor _____ against the criteria as set out in the Policy. A copy of the Policy is enclosed. **The University asks you not for a recommendation for or against promotion but rather for your judgment as to whether or not Professor _____'s scholarly and professional work meets the criteria of excellent or of competent.**

In reaching a decision regarding promotion, the committee will consider the candidate's accomplishments in research, creative professional activity and in teaching and education. An assessment of excellent or competent in each of these areas is requested and a statement to that effect must be included. In addition, the committee may consider the candidate's accomplishments in administration/service.

A. Specific appraisal of significant items, in addition to an overall judgment of the quantity and quality of the body of work in relation to the discipline's norms, would greatly assist the committee.
B. In particular, the committee would appreciate your comments on the main contributions of the candidate and on the originality and importance of her/his research effort and its impact on the discipline.
C. The committee also would like to read your frank judgment of the candidate's stature in the field, nationally and internationally.
D. Although referees normally are not expected to comment upon teaching competence, you may wish to include comments based on your observation of the candidate in other settings.
E. Similarly, if appropriate, you may wish to include comments on the extent and quality of the candidate's administrative or service contributions to scientific and/or professional organizations.

Please respond to *email of department* if you are able to act as a referee. We will then create an account in our on-line academic promotion system and you will receive instructions by email on where to review the candidate's dossier and how to electronically submit your assessment.

Thank you for taking the time to contribute to the promotions process at The University of Toronto.
Yours sincerely,

Chair, Department of _____

Enclosure: University of Toronto Policy and Procedures Governing Promotions

4.3.6 Sample Letter to Internal Referees Requesting Written Assessment of Candidate whose application for promotion is on the sole basis of excellence in teaching and education with a waiver for external review.

Dear:

I am writing to request your written assessment of Professor _____, of the Department of _____ who is being considered for promotion to _____at the University of Toronto. Your assessment will form part of the dossier upon which a decision will be made to grant or deny promotion. While a summary of your comments will be shared with the candidate, your identity will be held in strict confidence. Please comment also on any collaboration or other interactions you may have currently or have had in the past five years with the candidate. Referees should not be former students or supervisors of the candidate.

The University Policy and Procedures on Promotions requests referees to comment solely on the achievements of Professor _____ against the criteria as set out in the Policy. A copy of the Policy is enclosed. **The University asks you not for a recommendation for or against promotion but rather for your judgment as to whether or not Professor _____'s teaching and educational accomplishments meet the criteria of excellence.**

In reaching a decision regarding Professor _____'s promotion, the committee will consider his/her accomplishments in teaching and education.

Specific appraisal of significant items, in addition to an overall judgment of the quantity and quality of the teaching and education accomplishments with reference to departmental and hospital norms would greatly assist the committee. In particular, the committee would appreciate your comments on the main contributions of Professor _____ and your comments on the impact of her/his teaching and education related activities.

In the Faculty of Medicine, teaching and education can encompass the following components:

- formal teaching (situations in which responsibilities and expectations for both the teacher and the learner are set in advance, such as lecturing, activity in seminars and tutorials, individual and group discussions, laboratory teaching, and clinical teaching) and informal teaching that may be more spontaneous (e.g., role modelling and mentoring)
- curriculum and course development, and development of effective educational materials
- application of information technologies for local and distance education
- educational leadership and administration
- faculty development
- scholarship in education
- research in education
- quality assurance and evaluation of educational process and outcomes
- assessment of learners
- other, as appropriate

Please respond to *email of department* if you are able to act as a referee. We will then create an account in our on-line academic promotion system and you will receive instructions by email on where to review the candidate's dossier and how to electronically submit your assessment.

Thank you for taking the time to contribute to the promotions process at The University of Toronto.

Yours sincerely,

Chair, Department of _____

Enclosure: University of Toronto Policy and Procedures Governing Promotions

4.3.7 Sample Letter to Confirmed Referees with instructions on how to view the candidate documents and upload a letter of reference.

Dear Colleague,

You have been selected as a reference for [name of candidate], who is being considered for academic promotion at the University of Toronto.

Current Rank: [current rank]
Proposed Rank: [proposed rank]

Please click on the link below to review the promotion dossier.

https://documents.med.utoronto.ca/weblink

User name = [insert referee user name]
Password = [insert referee password]

Once you have reviewed the materials please follow the steps below to submit your Letter of Reference to the Promotion Candidate's dossier. Your letter should include your title, your institution's name, and it should be signed. The letter is due no later than [date].

[1. Visit a different website at https://documents.med.utoronto.ca/WebForms/ExternalReferee for External Referees

OR

1. Visit a different website at https://documents.med.utoronto.ca/WebForms/InternalReferee for Internal Referees

2. Under Promotion ID, enter: **XXX_2017_XXX**

3. Enter your email address in the Your Email Address field.

4. Upload you Letter of Reference and click Submit.

You will receive an automated e-mail confirming the receipt of your Letter. If everything seemed to go well but you do not receive an e-mail please check the junk mail folder of your e-mail application. Some institutions' mail filters divert these confirmation messages.

We very much appreciate you taking the time to prepare a letter of reference. Please feel free to contact the Department Promotion Committee administrator at [dept.admin@utoronto.ca] if you have any questions or concerns.

4.3.8 Sample Letter for Student Opinion

Dear:

Re: _____

Professor _____ is currently and _____ in the Department of _____, University of Toronto, and is being considered for promotion to the rank of _____. I am writing to ask you to provide an opinion concerning Professor _____'s teaching.

In particular, please comment on her/his mastery of the subject area, skill at communication, ability to stimulate and challenge your intellectual capacity and to influence the development of your intellectual and critical skills.

Your opinion will be held in strict confidence. In order that we may meet internal deadlines on this matter, I would be most grateful if we could have your response no later than _____.

If you are able to provide an opinion, please submit a PDF or Word document by email attachment to the department.

Thank you for taking the time to contribute to the promotions process at The University of Toronto.

Sincerely,

Chair, Department of _____

4.4 Letter of Recommendation to the Dean

The dossier of each candidate recommended for promotion by a DPC must be accompanied by a **Letter of Recommendation to the Dean** by the departmental chair using the term excellent, competent or not applicable to assess the Research, Creative Professional Activity or Teaching and Education, giving a specific account of the candidate's strengths, and indicating the main grounds on which the request for promotion is based. The letter must give reasons for supporting or not supporting the candidate. The letter should concisely describe the candidate and why he/she deserves promotion at this time. **It should also address any extenuating circumstances in the candidate's career that are not mentioned elsewhere in the dossier or that need further comment.**

In addition, in this letter the chair must:

- address the issue of independence in research particularly when a candidate is involved in a team/collaborative research initiative
- advise of the relative importance of the journals in which the candidate's work is published
- indicate the opportunities available within the department to teach
- outline the candidate's University and professional service/activity
- **address any adverse statements in letters from referees or students**

A letter from both the department chair and the chair of DPC must be included in the promotion dossier, except when these are the same person. Each individual writes a letter or one of them writes the letter of recommendation to the Dean and the other confirms agreement by counter signing the letter. The letter should not state the vote of the DPC. Any substantial disagreement within the DPC concerning any recommendations must be reported. If a candidate goes forward for promotion without support from both the department chair and the DPC, the reason for the negative opinion must be fully described.

The assessment should include reference to the quantity, quality and the significance of the teaching. This is expected of all candidates for promotion, but especially in those cases where candidates are being recommended largely on the basis of teaching.

4.4.1 Sample Letter of Recommendation to the Dean

Dean, Faculty of Medicine
University of Toronto
Medical Sciences Building, Room 2109
1 King's College Circle
Toronto, Ontario M5S 1A8

Dear Dean _____ :

I am pleased to recommend to the Decanal Promotion Committee that _____ be promoted to the rank of Associate/Full Professor, Department of _____, effective July 1, ____, My recommendation is based upon the following assessments of her/his scholarly activities.

Area	**Chair Recommendation**			**DPC Recommendation**		
	Excellent	Competent	or N/A	Excellent	Competent	or N/A
Research	☐	☐	☐	☐	☐	☐
CPA	☐	☐	☐	☐	☐	☐
Teaching and Education	☐	☐	☐	☐	☐	☐

Research

Based on the evidence, the candidate's research has been deemed as _____ [*Chair must insert descriptor* ***excellent*** *or* ***competent*** *or* ***not applicable*** *in order for the Decanal Promotions Committee to carry out its review*].

To support the above statement, it is suggested that the department chair comments on the following issues (this is not an exhaustive list — other issues may be added):

- *The focus of and the quality and productivity of the candidate's research*
  - the importance of the candidate's work
  - publications (peer-reviewed publications and other, role as contributing author)
  - conference presentations (national and international meetings, submitted or invited,).
  - research grants (investigator role in the applications, granting agencies, contracts, total amount of funding, appropriateness of funding for the applicant's research area, …).
  - independence in research particularly when a candidate is involved in a team/collaborative research initiative.
  - the relative importance of the journals in which the candidate's work is published.

- other contributions (patents, technical reports, ..).
- *Summary of external reviewers' comments (include a brief description of the qualifications of the reviewers).*

Creative Professional Activity (if appropriate)

Based on the evidence, the candidate's creative professional activity has been deemed as _____ [*Chair must insert descriptor **excellent** or **competen**t or **not applicable** in order for the Decanal Promotions Committee to carry out its review*].

To support the above statement, it is suggested that the department chair comments on the following issues (this is not an exhaustive list – other issues may be added):

- *Focus of the applicant's Creative Professional Activity (CPA). Linking CPA to Research to strengthen scholarly activity, if applicable, should be considered and described in the recommendation letter to the Dean.*
- *Impact of CPA in the discipline and beyond.*
- *Overall productivity related to CPA.*
- *Dissemination of the CPA*
- *Offer any relevant context in relation to the the wide-ranging repuation or impact of the CPA if it is provincial versus national (e.g. Quality Improvement initiatives may have provincial impact or reputation due to the nature of our provincially-led health care systems).*
- *If appropriate: summary of comments from external reviewers regarding the applicant's CPA.*

Teaching and Education

Based on the evidence, the candidate's teaching and education has been deemed as _____ [*Chair must insert descriptor **excellent** or **competent** or **not applicable** in order for the Deanal Promotions Committee to carry out its review*].

To support the above statement, it is suggested that the department chair comments on the following issues (this is not an exhaustive list – other issues may be added):

- *Focus and summary of the applicant's teaching and education activities.*
- *Comparison of the applicant's teaching activities compared to peers in the department.*
- *Course evaluations (including a comparison with peers in the department).*
- *Comments received by current and former students.*

Administrative Service

It is suggested that the department chair comments on the following issues (this is not an exhaustive list — other issues may be added):

- *Extent of the applicant's service contributions*
- *Comparison of the applicant's contributions with peers.*
- *The extent to which contributions have added significantly to the activities of the Department/University/scientific community.*
- *If appropriate, comments received from colleagues and others about the applicant's service contributions.*

In summary, _____

I am pleased to recommend him/her for promotion to the rank of _____.

Sincerely,

Chair, Department of _____

Each case for promotion must be supported by a fully documented promotion dossier. The promotion dossier is stored electronically on the Faculty of Medicine's on-line academic promotion system. The Dean may request a hard copy dossier to be submitted on an as needed basis.

UNIVERSITY OF TORONTO
FACULTY OF MEDICINE

Promotion Candidate Information Form

Candidate's Name: _____ **Personnel #:** _____

Current Rank: _____ *as of* _____
(day / month / year)

Proposed Rank: _____

Primary Division/Department _____

Cross-Appointment(s): **Department** **Faculty**
(where applicable)

_____

Hospital(s): _____
(where applicable)

Candidate's Office Address: _____

_____

Candidate's Home Address: _____

Type of Appointment:
☐ **Clinical (MD) Academic Full-time** ☐ **Clinical (MD) Academic Part-time**
☐ **Clinical (MD) Academic Adjunct**
☐ **Tenured** ☐ **Contractually Limited Term** ☐ **Non-clinical Part-time** ☐ **Status Only**

Appointment Date: _____
(D/M/Y)

Basis for Promotion (check all that apply)

- ☐ Excellence in Research
- ☐ Competence in Research
- ☐ Excellence in Teaching/Education
- ☐ Competence in Teaching/Education
- ☐ Excellence in CPA
- ☐ Competence in CPA
- ☐ Administrative Service

Promotion Dossier Checklist

For information only. This checklist page does not need to be uploaded to the on-line academic promotion system. Documents listed in this checklist should be submitted to the on-line academic promotion system in PDF.

Promotion Dossier

Candidate's Name: _____ **Primary Division/Department** _____

Date Submitted _____

Reporting Letters

- ☐ Recommendation to the Dean
- ☐ Confirmation letter from chair of DPC or department chair
- ☐ Recommendation of division/hospital head *(if applicable)*
- ☐ Letters from chair(s) or equivalent of cross-appointing departments, faculties or universities *(if applicable)*
- ☐ Letters to candidate advising negative recommendation

  If the candidate is requesting consideration by the DecPC despite negative recommendation of DPC/ department chair: Copy of the letter from the DPC/department chair to the candidate advising of the negative recommendation with reasons.

External Assessments

- ☐ External Letters of Reference (**minimum of three**)
- ☐ Colleague Letters (if applicable, section 4.3.1)
- ☐ Waiver of External Review – approved by the Dean (*if applicable*)
- ☐ External Referee List

  *Names, academic rank, institution of referees & indicate whether suggested by candidate, chair or DPC (**Table 1)***
- ☐ Letters to External Referees Requesting Written Assessment

Internal Assessments

- ☐ Internal Letters of Reference (**minimum of three**)
- ☐ Colleague Letters (if applicable, section 4.3.1)
- ☐ Internal Referee List

  *Names, academic rank, division/department/hospital of referees & whether suggested by candidate, chair or DPC (**Table 2)***
- ☐ Letters to Internal Referees Requesting Written Assessment
- ☐ Student Opinion Letters (minimum of **three**)
- ☐ Student Opinion Letter List *(***Table 6***)*
- ☐ Letters to students requesting written opinion of teaching

Curriculum Vitae

- ☐ Curriculum Vitae, (*Section 4.1*)
- ☐ Most significant publications (five)

Research

- ☐ Research Statement and Documentation *(Section 3.1.3)*

- ☐ Data Summary Sheet, Research Awards (**Table 3**)
- ☐ Data Summary Sheet, Refereed Publications (**Table 5**)
- ☐ Data Summary Sheet, Research Supervision (**Table 4**)

Creative Professional Activity

- ☐ CPA Statement and Documentation (Section 3.2.3)
- ☐ Appraisal letters from community agencies (*if applicable*)
- ☐ CPA- Additional Assessments

Teaching and Education

- ☐ Teaching and Education Documentation (*Section 3.3.3*)
- ☐ Teaching Evaluation Committee Report (*if applicable*)
- ☐ Data Summary Sheet, Teaching *(***Table 7***)*

Administrative Service

- ☐ Administrative Service Documentation *(Section 3.4.3)*

Faculty of Medicine Academic Promotion

Table 1: Data Summary Sheets
External Referees

Candidate's Name _____

Primary Division/Department _____ **Date Submitted** _____

Name of Referee	Academic Rank or Equivalent Status	Institution	Suggested by (check one)			Dates (D/M/Y)		
			Candidate	Promotions Committee	Chair	Solicited	Received	Not Received
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐

Faculty of Medicine Academic Promotion

Table 2: Data Summary Sheets
Internal Referees

Candidate's Name _____

Primary Division/Department _____ **Date Submitted** _____

Name of Referee	Academic Rank or Equivalent Status	Institution	Suggested by (check one)			Dates (D/M/Y)		
			Candidate	Promotions Committee	Chair	Solicited	Received	Not Received
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐
			☐	☐	☐			☐

Faculty of Medicine Academic Promotion

Table 3: Data Summary Sheets
Research Awards (Since Last Promotion)

Candidate's Name _____

Primary Division/Department _____

Date Submitted _____

Year	Peer Reviewed Grants Agency	Awards $	Status (Principal Investigator, Co-Principal, Co-Investigator
Year	**Non - Peer Reviewed Grants Donor**	**Awards $**	**Status (Principal Investigator, Co-Principal, Co-Investigator**
Total			

Faculty of Medicine Academic Promotion

Table 4: Data Summary Sheets
Research Supervision (Since Last Promotion)

Candidate's Name _____

Primary Division/Department _____

Date Submitted _____

Year	Total Number											
	Post Doctoral Student	Thesis Supervisor			Committee Member			Postgrad Student	Project Student	Summer Student	CREMS	Other
		PhD	Masters	Prof. Masters	PhD	Masters	Prof. Masters					

Table 5: Data Summary Sheets
Refereed Publications (Since Last Promotion)

Candidate's Name _____

Primary Division/Department _____ **Date Submitted** _____

Year	Total Number as Principal Author	Total Number as Co-Principal Author	Total Number as Collaborator or Co-Author	Total Number as Senior Responsible Author	Total Number

Faculty of Medicine Academic Promotion

Table 6 : Data Summary Sheets
Student Opinion Letters List

Candidate's Name _____

Primary Division/Department _____ **Date Submitted** _____

Name of Student	Suggested by (check one)			Dates (D/M/Y)	
	Candidate	Promotions Committee	Chair	Solicited	Received
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		
	☐	☐	☐		

Table 7 : Data Summary Sheets Teaching (Since Last Promotion)

Candidate's Name _____

Primary Division/Department _____ **Date Submitted** _____

Year	Level	Program	Type of Teaching	Total Hours	Total Number of Students	Teaching Effectiveness Score (if applicable)	Comparative Score (e.g. Mean for department/program if available)

5.0 APPENDIX

5.1 Creative Professional Activity (CPA)

This document acting as a guide and a checklist was created by the CPA Committee, Department of Psychiatry, University of Toronto. This is an edited version of the guidelines for CPA used by the Department of Psychiatry as part of their senior promotions process for Associate and Full Professor promotion. Edits were made to conform to the needs of the basic science, rehabilitation science and clinical departments in the Faculty of Medicine. This document has two parts for addressing CPA – Part A "Considerations for Applicant" and Part B "Promotions Committee Reviewer Guide". It is felt that these two documents are useful to faculty members and departments in presenting and assessing the CPA part of the promotions dossier. These two documents are NOT to be submitted with the dossier. They are solely for internal departmental use.

Part A - Considerations for Applicant in Preparing CPA Material

It is important that your CPA dossier include specific detail on the CPA(s), information concerning your role (leadership vs. team member) and any information that can support the impact and significance of the CPA.

- ☐ Did you provide a clear description of the creative professional or scholarly activity/activities?
- ☐ How does the CPA contribute to the academic enterprise? How does it relate to your position or appointment? How did it come about?
- ☐ Did you include objectives or goals for the CPA? Are they clearly described?
- ☐ Were any goals or objectives based on a clinical issue, a population need or system issue? If so, indicate that. How did you come to know about the issue/population in need, etc.?
- ☐ What was your specific role? Indicate whether you were a leader of the CPA or a team member? Did you originate the idea? Did you implement the CPA? It is important to be clear on your role(s), activities, etc. and to indicate how others were involved.
- ☐ Briefly describe whether significant mentors contributed and how.
- ☐ Did you provide any mentorship to others in relation to the CPA? Were there opportunities for teaching around the CPA experience/learning?
- ☐ What is the significance of the CPA? For example, what does it mean? Does it make a difference? If so, how? (Describe the significance and impact in detail and provide evidence to support any impacts).
- ☐ Did you include testimonials, letters of support, unsolicited letters or other evidence to demonstrate impacts/significance?
- ☐ Did any formal or informal evaluations occur? Were they planned as part of the CPA? What did they demonstrate?

- ☐ Can you provide evidence of "excellence"? (i.e. evaluations, letters of support on changes or impacts, pre post evaluations, testimonials, changes of practice, etc., others adopt approach?, invites to present or provide product/process?)
- ☐ Can you describe any specific impacts or changes to practice? To a community? To a policy?
- ☐ Did your CPA contribute to new frameworks or theories?
- ☐ Can you provide any evidence of national or international impacts? Or significance?
- ☐ Will the CPA be sustained? If so, how or what plans are underway to sustain it (them)?
- ☐ Did you describe any associated dissemination activities or plans? Did any knowledge translation activities occur that can be included in your description? (i.e. peer reviewed articles, non-peer review, rounds, newspapers, films etc, community etc.)

Part B - CREATIVE PROFESSIONAL ACTIVITY (CPA)

Departmental Promotions Committee Reviewer Guide for CPA

The purpose of this guide is to assist in the evaluation of the creative professional activity (CPA) of applications to the promotions committee. For each of the following items, please consider the dossier components by placing a checkmark in the most appropriate box. It is important to consider whether clear descriptions of the CPAs, the applicant's role in the CPAs, and the impact or significance of the CPAs are provided. The categories within this framework may be useful in guiding discussions around specific areas of the CPA provided by the applicant.

Description of CPA	Absent	Competent	Excellent	N/A
1. Clear career statement	☐	☐	☐	☐
2. Provision of a vision statement for the CPA that is related to applicant's position/appointment	☐	☐	☐	☐
3. Clear description of creative professional activity/activities, including the process or product(s) that contribute to academic enterprises (intervention programs, manuals, reports, policy documents, curriculum resource materials, film, etc.)	☐	☐	☐	☐
4. Clear goals for each CPA activity	☐	☐	☐	☐
5. Goals were based upon community/population identified needs/strengths	☐	☐	☐	☐
6. Activities and/or processes were developed with community partners if applicable	☐	☐	☐	☐
Role of Applicant in CPA				
7. Clear description and evidence of the applicant's role in CPA (Is applicant the leader of the CPA? Or part of a team? The applicant brought the vision or implemented the idea? What tasks were completed by the applicant and were they distinct from other faculty or participants?)	☐	☐	☐	☐
Impact & Significance				
8. Quantitative and qualitative evaluation of program/activities occurred	☐	☐	☐	☐
9. Evidence of significant impacts or change to community/population/policy/clinical practice to determine excellence in CPA	☐	☐	☐	☐
10. Evidence that outcomes have led to improvements, new approaches or better understanding in service/quality of care/processes/policies/fundamentals	☐	☐	☐	☐
11. Evidence of adoption of approach or use of product by others (National/International)	☐	☐	☐	☐
12. Non-conflicted and colleague letters demonstrating impact at community/sector levels (National and International)	☐	☐	☐	☐
13. Evidence of sustained relationships/partnerships with community/organizations/populations (how will CPA be sustained?)	☐	☐	☐	☐
Dissemination/Knowledge Translation				
14. Multiple dissemination strategies applied (articles-peer-reviewed/non-peer-reviewed, rounds, novels, films, newsletters, journals, etc.)	☐	☐	☐	☐
15. Dissemination to the scholarly/trainee/non-scholarly peer/lay community (evidence of dissemination)	☐	☐	☐	☐

6.0 Appendix H-Index and Citation Report

The h-index is a measure of the number of highly impactful journal articles published by a given individual. The h-index is calculated using the number of publications and the number of citations for each paper.

There are a number of licensed databases that you can use that offer h-index calculations and citation reports (e.g. Web of Science; Scopus).

Instructions for determining your h-index:

Web of Science

- The Web of Science tracks, analyzes and visualizes author impact in the sciences, social sciences, and humanities. It is most useful for the sciences. To view your research impact:
    1. Access the Web of Science database through your UofT library or your institutional library
    2. Search for your name in "Author" (full name or name you use when publishing)
    3. Save your publications to a Marked List
    4. Review the list generated to ensure it comprises all of your publications-all authorship levels (i.e., as a first author and as one of the co-authors)
    5. Create a Citation Report from your Marked List to visualize your h-index and citation count

Scopus (firefox or google chrome work better than internet explorer)

- Scopus provides citation tracking, visualizations, and analysis tools for authors. Scopus is most useful in the sciences. Scopus also provides a calculation for h-index
    1. Access Scopus database through your UofT library or your institutional library
    2. Search for your name in "Authors" (full name or name you use when publishing)
    3. Select your publications
    4. Review the list generated to ensure it comprises all of your publications-all authorship levels (i.e., as a first author and as one of the co-authors)
    5. Click "view citation overview" from the menu

    Learn more about Scopus Author Metrics

**Please note: All citation measurement tools have their limitations and they may not reflect academic output in the same way when applying across various disciplines and/or field of research. Therefore, during the academic promotion process, these measures will be viewed *within a context, i.e., applications will be discussed and considered while comparing to others in similar field.*