



UNIVERSITY OF TORONTO  
FACULTY OF MEDICINE

# Manual for Academic Promotion to Associate Professor and Professor



**July 2019**

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.

## 1.0 PREAMBLE

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

Academic promotion in the Faculty of Medicine recognizes the notable achievements of faculty in their discipline and contributions to the University of Toronto. This manual describes the process by which departments and the Decanal Promotion Committee consider individual promotion files. It provides detailed information on how academic performance can be demonstrated in the 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)<sup>1 2</sup> 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 is intended to 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 the Chair of Departments 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 apply to both of these exceptions. Note however, that consideration for promotion to the rank of Professor for both of these streams falls under this manual.

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 to a worthy candidate.

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<sup>1</sup> Boyer, E. (1990). *Scholarship Reconsidered: Priorities of the Professoriate*. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching

<sup>2</sup> 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 for their current and future contributions to the Faculty of Medicine. Our collective achievements reinforce my belief that our outstanding faculty 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 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 policies on academic promotion are set out in the Policy and Procedures Governing Promotions

<http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppapr201980.pdf>, and the Policy and Procedures Governing Promotions in the Teaching Stream

<http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf>, both are applicable to the Faculty of Medicine. Colleagues holding full-time academic 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 and Faculty of Medicine documents.

## 1.3 Faculty of Medicine Promotion Manual

This manual for Academic Promotion to Associate Professor and 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

<http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppapr201980.pdf> and *the Policy and Procedures Governing Promotions in the Teaching Stream*, paragraph 2 <http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf>.

This Faculty of Medicine Manual for Academic Promotion to Associate Professor and Professor (hereafter called the “manual”) applies to all clinical (MD) academic full-time, clinical (MD) academic part-time, clinical (MD) academic adjunct, tenured faculty at rank of Associate Professor, teaching stream faculty at the rank of Associate Professor, non-clinical part-time salaried, status only and grant-funded contractually limited term appointed faculty. It should be widely disseminated and discussed in appropriate fora such as departmental meetings. Chair of the Departments, 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, 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 in the Faculty of Medicine.

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

#### **1.4 Criteria for Promotion**

According to the *University of Toronto Policy and Procedures Governing Promotions*, (<http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policyes/PDF/ppapr201980.pdf>) 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 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.

For those in the teaching stream, according to the *University of Toronto's Policy and Procedures Governing Promotions in the Teaching Stream* (<http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf>) Promotion to Professor, Teaching Stream will be granted on the basis of excellent teaching, educational leadership and/or achievement, and ongoing pedagogical/professional development, sustained over many years, outlined more fully in the policy, paragraphs 8, 9, and 10 and recommendation on their assessment are set forth in paragraph 11. 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.

## 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 1 <sup>st</sup> 2019	<p>The membership of the Departmental Promotion Committee (<b>DPC</b>) 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).</p> <ul style="list-style-type: none"> <li>• The Chair of the Department may be the chair of the DPC.</li> <li>• The Departments of Occupational Science and Occupational Therapy, Physical Therapy and Speech Language Pathology establish a combined Department and Sector Promotions Committee.</li> </ul>
2	before May 1 <sup>st</sup> 2019	<p>The Chair of the Department 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:</p> <ul style="list-style-type: none"> <li>• Review of the CVs of Assistant and Associate Professors by the Chair of the Department. In large departments Division Heads may act on behalf of the Chair of the Department.</li> <li>• Hospital Chiefs may propose a candidate for promotion in writing directly to the Chair of the Department.</li> <li>• Written self-nomination by candidates to the Chair (see also step 7).</li> </ul>
3	by May 31 <sup>st</sup> 2019	<p>The DPC reviews the CVs of all candidates to identify those for preliminary consideration. For Faculty 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 Chair of the Department, the DPC Chair, administrative assistants in charge of promotions and/or DPC members to provide further guidance in preparing the Promotion Dossier.</p>

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
4	by July 12 <sup>th</sup> 2019	<ul style="list-style-type: none"> <li>The Promotion Dossier is reviewed by the DPC. Candidates are informed as to whether the DPC supports promotion.</li> <li>The DPC suggests alterations to the Promotion Dossier if required.</li> <li>Names of potential internal and external referees and student assessors are requested from the candidate, if promotion is supported.</li> </ul>
5	by September 1 <sup>st</sup> 2019	The candidate uploads the revised dossier and submits referee names to the DPC.
6	by September 30 <sup>th</sup> 2019	<ul style="list-style-type: none"> <li>The Chair of the Department 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.</li> <li>The DPC reviews the Promotion Dossier and decides whether to proceed. If so, the Chair of the Department sends out requests for letters of reference (<i>see page 12</i>). This manual has appended template letters for review requests (<i>see page 45</i>), which should be used to ensure uniformity across the Faculty.</li> </ul>
7	October 15 <sup>th</sup> DEADLINE	<p><b>Final deadline for Associate Professors to request consideration for promotion in writing to the Chair. An updated CV must be attached.</b></p> <p><b>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 who request detailed consideration for promotion by October 15 will receive full consideration for promotion by the DPC.</b></p>
8	October 31 <sup>st</sup> DEADLINE	<p><b>Deadline for the Chair to request Waiver of External Review</b></p> <ul style="list-style-type: none"> <li>Submit request with an updated CV (<i>See pages 12 and 28</i>)</li> </ul>
9	November and December, 2019 (note holiday closure commences Dec 20 <sup>th</sup> , 2019)	<ul style="list-style-type: none"> <li>The DPC meets to review the final Promotion Dossier, including letters of reference, and makes final recommendations on each candidate to the Chair.</li> <li>Successful candidates are informed by letter that their Promotion Dossier will be submitted to the Decanal Promotion Committee (DecPC.)</li> <li>The Chair informs candidates not recommended for promotion in writing, including reasons for the decision and suggestions for future reapplication.</li> <li>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.</li> <li>Candidates not recommended for promotion at the Departmental level may apply to the DecPC for consideration. The Chair of the Department should forward the Promotion Dossier with a statement describing the Department's decision and a summary of the evidence considered.</li> <li>All Promotion Committees are advisory to the Dean, who has final approval.</li> </ul>

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
10	by January 13 <sup>th</sup> 2020 <b>DEADLINE</b>	<p><b>Submission of materials to the Decanal Promotion Committee (DecPC)</b></p> <ul style="list-style-type: none"> <li>For each candidate for promotion, the Chair writes a separate letter of recommendation to the Dean providing details of the basis for the recommendation. <i>See page number 51 of this manual for requirements for this letter. A sample letter is outlined on page number 52.</i></li> <li>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 <b>JANUARY 13<sup>th</sup>, 2020</b>.</li> </ul> <p><b>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.</b></p>
11	February 11 <sup>th</sup> - 14 <sup>th</sup> , 2020 Decanal Review meetings  and  March 10 <sup>th</sup> and 11 <sup>th</sup> , 2020 Decanal Deferral meetings	<p><b>DecPC Review Process</b></p> <ul style="list-style-type: none"> <li>The DecPC meets to review all submitted Promotion Dossiers.</li> <li>If a decision on promotion is deferred, detailed reasons will be provided in writing to the Chair of the Department to be conveyed to the candidate.</li> <li>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 Chair of the Department, 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.</li> <li>The DecPC finalizes its recommendations to the Dean to promote or not to promote.</li> </ul> <p><b>Dean's Review</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>
12	April or May, 2020	<p>The Dean makes recommendations for promotion to the Provost and sends the Provost a report concerning the candidates for promotion.</p> <p><b>Provostial Review</b></p> <p>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 who have not been recommended to the Provost for promotion. Chairs should notify unsuccessful candidates with written detailed reasons as soon as possible.</p>
13	July 1 <sup>st</sup> 2020	Approved promotions are effective.

Step	Suggested Timing (Hard DEADLINES are indicated)	Description
<p><b>Note on Appeals</b></p> <p>Chairs should be familiar with the appeals process to advise candidates.</p> <p>There are two possible grounds for appeal:</p> <ul style="list-style-type: none"> <li>a) That procedures have not been properly followed, or</li> <li>b) That the scholarship, teaching and service of the candidate have not been evaluated fully or fairly.</li> </ul> <p>The process is outlined in Section 29 of the <i>University of Toronto Policy and Procedures Governing Promotions 1980</i>, (<a href="http://www.governingcouncil.utoronto.ca/policies/promote.htm">http://www.governingcouncil.utoronto.ca/policies/promote.htm</a>) and more fully in the Grievance Procedure, Article 7 of the <i>Memorandum of Agreement Between the Governing Council and the University of Toronto Faculty Association, 2006</i>. (<a href="http://www.governingcouncil.utoronto.ca/policies/memoagr.htm">http://www.governingcouncil.utoronto.ca/policies/memoagr.htm</a>)</p> <p>There are two possible grounds for appeal in the Teaching Stream:</p> <ul style="list-style-type: none"> <li>a) That the procedures have not been properly followed, or</li> <li>b) That the candidate’s accomplishments in excellent teaching, educational leadership and/or achievement, and ongoing pedagogical/professional development have not been evaluated fully or fairly.</li> </ul> <p>This process is outlined in Section 26 of Policy and Procedures Governing Promotions in the Teaching Stream <a href="http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf">http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf</a></p> <p>Clinical Faculty should also refer to the <i>Policy for Clinical Faculty, 2004</i> <a href="http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjul012005.pdf">http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppjul012005.pdf</a></p> <p>and the <i>Procedures Manual for Policy for Clinical Faculty, 2016</i> <a href="http://medicine.utoronto.ca/sites/default/files/ProceduresManualClinicalFaculty.pdf">http://medicine.utoronto.ca/sites/default/files/ProceduresManualClinicalFaculty.pdf</a></p>		

## 2.2 Information for Chair of the Departments

### ***Applicable Policies and Documentation***

The Chair of the Department ensures that faculty 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, 2016*  
<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/sites/default/files/The%2BHollenberg%2BReport.pdf>
- d) *University of Toronto's Policy and Procedures Governing Promotions in the Teaching Stream* (<http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf>)

### **Faculty of Medicine:**

This Manual;

- a) *Procedures Manual for Policy for Clinical Faculty*, November 2016,  
<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 Chair of the Department should remind all faculty to update their curricula vitae annually (see page 38).

### ***Establishment of a Teaching Evaluation Committee***

Departments 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 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 candidate's teaching and/or Education has been deemed excellent or competent.

### ***Establishment of the Departmental Promotion Committee (DPC)***

The Chair of the Department establishes the DPC **on or before March 1st** with no fewer than five members of senior rank (Associate Professor or Professor). The Chair of the Department 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 of the DPC membership.

Where an Associate Professor, Teaching Stream is seeking promotion to Professor, Teaching Stream the DPC must consist of at least five tenured or continuing status faculty at the rank of Professor and/or Professor Teaching Stream, with at least one faculty member at the rank of Professor Teaching Stream. **Note:** until a sufficient number of teaching stream faculty have attained the rank of Professor Teaching Stream, this requirement shall be waived and the DPC shall be constituted by five tenured faculty at the rank of Professor.

### ***Meeting with the Candidate***

The Chair of the Department, 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.

### ***Letters of Reference***

It is the responsibility of the Chair of the Department 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 letters are required. Promotion to Teaching Stream, Professor may require a formal peer assessment (see page 42).

### ***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 occasionally Status Only faculty who are being considered for promotion to Associate Professor or Professor solely on the basis of sustained excellence in teaching and education (see *page 28*). A Waiver of External Review recognizes the fact that some faculty 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 or 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 Chair of the Department 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 31<sup>st</sup>**. 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.

**Note: Chair's Letter and Identification of Gaps**

*The University is a leading organization in supporting family life and in keeping with our values, the Faculty of Medicine recognizes that, where appropriate, the Chair's recommendation letter to the Dean may include the identification of a gap in academic productivity due to a pregnancy, adoption, parental or caregiver leave.*

## 3.0 CRITERIA FOR PROMOTION

### 3.1 RESEARCH

#### *Attributes*

Successful research leads to the advancement of knowledge through contributions of an original nature. Promotion to Associate Professor or 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 pages 15, 37 and 40.

#### *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 recognition usually 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 they 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.

#### *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.

### ***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.

### ***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.

### ***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 (*see page 38*) 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.

## ***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 on page 37.

## ***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

## ***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.

## ***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**).

### ***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.

### ***Publications***

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

- May 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 on page 37.
- 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.

### ***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 they was the presenter or whether the presenter was a trainee directly supervised by the candidate.

## 3.2 CREATIVE PROFESSIONAL ACTIVITY (CPA)

### *Attributes*

As mentioned on page 14, 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.

### *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.

## **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<sup>3</sup>)

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.

### **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.

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<sup>3</sup> <http://www.deptmedicine.utoronto.ca/sites/default/files/The%2BHollenberg%2BReport.pdf>

- CPA in Education can include:
  - 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.

### **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.

**Documentation**

***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 *page 16* 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.**

***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 (see *page 42*).

### 3.3 TEACHING AND EDUCATION

The Faculty of Medicine is committed to encouraging and supporting the highest standards of teaching and education. 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.

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

- Undergraduate education
- Graduate education
- Postgraduate medical education
- Post-doctoral training
- Continuing education and faculty development
- Mentorship
- Patient/public education

For purposes of clarification, the Teaching and Education section of the manual is divided into three groups based on faculty type. Once you have identified your group (one, two or three) you should refer to this section for purposes of Teaching and Education criteria.

#### 3.31 Group One

**Clinical (MD) Faculty (Full-time, Part-time and Adjunct)**, Promotion to Associate or Professor

**Status Only Faculty** Promotion to Associate or Professor

**Grant-Funded CLTA Faculty** Promotion to Associate or Professor

**Non-Clinical Part-Time Salaried Faculty** Promotion to Associate or Professor

**Tenured Faculty** Promotion to Professor

#### 3.32 Group Two

**Promotion Solely on the Basis of Sustained Excellence in Teaching**, Promotion to Associate or Professor

Applicable for Clinical (MD) Faculty

*\*Waiver of External Review must be utilized*

#### 3.33 Group Three

**Teaching Stream Faculty** Promotion to Professor, Teaching Stream

*(Promotion to associate professor accompanies the continuing status teaching stream review which is separate from this process)*

### 3.31 Group One

Teaching and education effectiveness guidelines for the faculty types listed below, are outlined thoroughly in this section.

- Clinical (MD) Faculty (Full-time, Part-time and Adjunct), Promotion to Associate or Professor
- Status Only Faculty Promotion to Associate or Professor
- Grant-Funded CLTA Faculty Promotion to Associate or Professor
- Non-Clinical Part-Time Salaried Faculty Promotion to Associate or Professor
- Tenured Professors Coming Forward for Promotion to Professor

**Candidates must demonstrate sustained excellence in scholarship (research/CPA) or teaching, accompanied by competence in the other area. Some candidates may demonstrate an excellent level of achievement in all areas (teaching, research and CPA). Whatever the basis a candidate comes forward for promotion, there must be evidence of at least competence in teaching (accompanied by excellence in the other area).**

#### ***Excellence in Teaching and Education***

To meet the standard of **excellence** in teaching, the candidate must demonstrate excellent teaching skills, i.e., exemplary achievement, in a consistent manner. In addition, the candidate must demonstrate **excellence** in some combination of the following elements:

- Successful innovations in the teaching domain, including the creation of significant and innovative teaching processes, materials, and forms of evaluation
- Recognition of teaching through nomination for or receipt of awards/honours
- Teaching evaluation scores above the acceptable standard for the department
- Receipt of peer-reviewed grants for scholarship of teaching and learning
- Development of significant new courses and/or reform of curricula
- Significant contributions to the technological environment of teaching in a given area, for example, through the development of effective new technology or the use of new media to fullest advantage
- Development of innovative and creative ways to promote students' involvement in the research process and provide opportunities for students to learn through discovery based methods
- Using ones expertise and experience to deepen student understanding and enrich the application of theory. For example:
  - Enabling students to build relationships to local communities and communities of practice
  - Offering significant opportunities for community engagement
- Ability to design unique learning experiences for students connected to professional practice
- Significant contributions to pedagogical changes in a discipline, for example through publication of innovative textbooks and/or teaching guides that are adopted beyond the Faculty of Medicine

- Consistent engagement in pedagogical professional development (e.g. participation in workshops, seminars, conferences and/or courses on teaching and learning; keeping abreast of current pedagogical research in one's field) and the application of these activities to enhance the quality and effectiveness of one's teaching
- Reflection on and assessment of new teaching practices
- Conducting research on teaching and/or learning that has potential for impact beyond a single classroom
- Dissemination of one's own pedagogical research (e.g., through scholarly articles or educational resources, presentations at conferences or workshops, etc.)
- Active engagement in the pedagogical development of others
- Delivering workshops, seminars or presentations on teaching and learning
- Acting as an active and engaged teaching mentor to colleagues
- Providing mentorship and establishing best practices in the management and leadership of teaching assistants and instructional team members
- Significant contributions to pedagogical development in a discipline or broader education context. For example:
  - Invitations to serve as curriculum or program evaluator for another Faculty or institution
  - Active engagement in accreditation processes for another program, Faculty or institution
- Engagement in professional teaching and learning organizations/associations or work with teaching centres
- Engagement in professional organizations and the application of this knowledge to teaching and the curriculum in one's own Faculty or beyond
- Serving as a journal review or editor of pedagogical publications or as a proposal referee for pedagogical conferences
- Invited national and international talks on teaching and education.

### ***Competence in Teaching and Education***

The criteria of teaching effectiveness, as understood at the University of Toronto, and the related standards of performance (i.e. requirements for competence and excellence) are outlined below.

To establish **competence** in teaching there must be evidence of:

- Mastery of the subject area
- Strong communication skills
- The ability to stimulate and challenge the intellectual and scholarly capacity and development of students
- Being accessible to students inside and outside the classroom
- Fair and ethical dealings with students that recognize the diverse needs and backgrounds of our student population
- Creation of supervisory conditions conducive to an undergraduate/graduate student's academic progress, intellectual growth and the development of research skills.
- Professionalism and adherence to academic standards and administrative responsibilities as defined by University policy.

In addition to demonstrating the criteria listed above, to be judged competent, candidates should also demonstrate that they:

- Use meaningful methods of assessment that reflect and contribute to student learning (e.g. the use of formative and summative assessment)
- Engage students in the learning process
- Reflect on, and strive for, improvement in teaching-related activities
- Create opportunities that involve students in the research process, where appropriate (e.g. presenting or publishing with students, mentoring/coaching students)
- Actively integrate one's own research, into teaching practice and curriculum
- Ensure course content reflects current and relevant research and practice in the field.

### **The Teaching Dossier**

In addition to ensuring an up-to-date CV, each candidate being considered for excellence in teaching should maintain a Teaching Dossier<sup>4</sup> that has been updated annually. The Teaching Dossier should include the following as appropriate:

- a. A statement of teaching interests and philosophy
- b. A list of all graduate and undergraduate courses, taught by the candidate
- c. Representative course outlines and assessments
- d. For courses in which the candidate has had major responsibility for the design, include the course outline, reading list if applicable and evaluation materials (e.g., assignments and/or examinations)
- e. A list of all students whose research work has been supervised by the candidate, indicating whether primary or sole supervision or secondary and/or joint supervision, period of supervision, as well as thesis topics and time to completion. When relevant, copies of students' papers, especially those that have been published, and student theses may be included.
- f. Summaries of annual student evaluations and unsolicited opinion letters or testimonials from students regarding teaching performance
- g. Applications for instructional development grants, where applicable
- h. Documentation of efforts made (both formal and informal) to improve teaching skills or course design and a description of the outcomes
- i. Awards or nominations for awards for teaching excellence
- j. Documentation of innovations in teaching methods, scholarship and/or research in education, and contributions to curricular development, including activities related to the administration, organizational and developmental aspects of education and the teaching process, where applicable
- k. Examples of efforts to mentor colleagues in the development of teaching skills and in the area of pedagogical design, where applicable
- l. Evidence of contributions in the general area of teaching such as presentations at conferences or publications on teaching, where applicable

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<sup>4</sup> The "Developing and Assessing Teaching Dossiers: A Guide for University of Toronto faculty, administrators and graduate students" is recommended as a guide for creating and maintaining Teaching Dossiers. See: <http://teaching.utoronto.ca/teaching-support/documenting-teaching/teaching-dossier/>

- m. Service to professional bodies or organizations through any methods that can be described as instructional, where applicable
- n. Community outreach and service through teaching functions, where applicable
- o. Plans for developing teaching skills and/or future contributions to teaching.

### **Data Collection**

Candidates shall be responsible for submitting their Teaching Dossier to the Chair of the Department.

The Chair shall collect student course evaluation data, solicit letters from students and the candidate's peers and, where applicable, will obtain written specialist assessments.

### **Information Required for Evaluation**

The evaluation of teaching must be as thorough as possible. The sources of information for the evaluation should include, but are not limited to:

1. Faculty member's teaching dossier including a teaching statement and philosophy.
2. Student evaluations, as comprehensive and objective as possible. This should be in the form of student letters solicited by the Chair. Such information should be gathered from students who have been taught and/or supervised by the faculty member.
3. Student course evaluations
4. Formal peer evaluation (internal and/or external) is considered best practice, including other departmental or divisional assessments where cross-appointment is involved.
5. Course enrolment data, including evidence of demand for elective/selective/graduate courses
6. Documentation may include, but is not limited to, publications in a variety of media including but not limited to, scholarly and professional journals, non-peer-reviewed scholarly publications (for example, white papers, position or policy papers on education), books, CDs, online publications, invited lectures and presentations given at academic conferences, design of and contribution to academic websites, examples of professional work, and any other evidence of professional development.
7. Some departments may have a specific evaluation by an evaluation committee or an objective observer.

### 3.32 Group Two

#### **Promotion Solely on the Basis of Sustained Excellence in Teaching (Clinical MD Only)**

The Faculty of Medicine recognizes the fact that some faculty may spend a large portion of their time in clinical work and teaching as opposed to scholarship and therefore are not necessarily known nationally or internationally. In this circumstance, a candidate may go forward for promotion to Associate Professor or Professor on the sole basis of excellence in teaching sustained over many years. Decanal Promotion Committees view the term 'sustained' to normally mean at least ten years. On this basis, the promotion dossier is not required to include documentation for Research, Creative Professional Activity nor Administrative Service.

Typically it is Clinical (MD) faculty and occasionally Status Only faculty who utilize this basis for promotion. This pillar for promotion consideration is not applicable for those whose promotion includes research, CPA or administration. It is also not applicable for tenure stream, teaching stream, grant-funded CLTAs, nor part-time salaried faculty.

This basis for promotion does not require a national nor international review, therefore a Request to Waive External Reviews is submitted to the Dean (through the Human Resources Department) no later than October 31st. It is strongly recommended that a teaching dossier be provided and be reviewed by a departmental teaching evaluation committee.

To establish **sustained excellence** in teaching for the purpose of achieving promotion, there should be evidence of:

- Exemplary knowledge level and commitment to the subject area (evidence of being a master teacher)
- Strong communication skills
- Teaching evaluation scores consistently above the acceptable standard for the department
- The ability to stimulate and challenge the intellectual capacity and development of students
- Mentoring and role modelling that fosters critical and reflective thinking
- Being accessible to students
- Fair and ethical dealings with students that recognize the diverse needs and backgrounds of our student population
- Creation of supervisory conditions conducive to an undergraduate/graduate student's academic progress, intellectual growth
- Recognition of teaching through nomination for or receipt of awards/honours

### **The Teaching Dossier:**

In addition to ensuring an up-to-date CV, each faculty member should maintain a Teaching Dossier. The Teaching Dossier should include the following as appropriate:

- A statement of teaching interests and philosophy
- A list of all graduate and undergraduate courses, taught by the candidate
- Representative course outlines and assessments
- For courses in which the candidate has had major responsibility for the design, include the course outline, reading list if applicable and evaluation materials (e.g., assignments and/or examinations)
- Table summaries of annual student evaluations
- Unsolicited opinion letters or testimonials from students regarding teaching performance
- Applications for instructional development grants, where applicable
- Documentation of efforts made (both formal and informal) to improve teaching skills or course design and a description of the outcomes
- Awards or nominations for awards for teaching excellence
- Documentation of innovations in teaching methods, scholarship and/or research in education, and contributions to curricular development, including activities related to the administration, organizational and developmental aspects of education and the teaching process, where applicable
- Examples of efforts to mentor colleagues in the development of teaching skills and in the area of pedagogical design, where applicable
- Other mentorship if applicable
- Evidence of contributions in the general area of teaching such as presentations at conferences or publications on teaching, where applicable
- Service to professional bodies or organizations through any methods that can be described as instructional, where applicable
- Plans for developing teaching skills and/or future contributions to teaching.

### **Data Collection:**

Candidates shall be responsible for submitting their Teaching Dossier to the Chair of the Department. The Chair shall collect student course evaluation data, solicit letters from at least three students and will obtain at least three written internal assessments.

### **Evaluation:**

The criteria outlined above should be assessed by the Departmental Promotion Committee relative to the norm for the department. *It is also recommended that a departmental teaching evaluation committee be created to assess the teaching dossier and prepare a report on the candidate's sustained excellence in teaching.*

### **Information Required for Evaluations**

The evaluation of teaching must be as thorough as possible. The sources of information for the evaluation may include, but are not limited to:

1. Faculty member's teaching dossier.

2. Student evaluations, as comprehensive and objective as possible. This should be in the form of student letters solicited by the Chair. Such information should be gathered from students who have been taught and those who have been supervised by the faculty member.
3. A comprehensive summary of all teaching evaluations should be prepared and included in the teaching dossier. 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 (see Table 7, Data Summary Sheets). The scores for the individual should be shown in relation to the average for the department if available.
4. Course enrolment data; including any evidence of demand for elective/selective/graduate courses.
5. 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.
6. 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.
7. Clinical or research supervision may be included separately from courses and lectures. Comparison of each candidate with their 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. In addition, a concise assessment by the Chair of the Department 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.
8. The Chair should solicit at least three letters of reference specifically addressing the teaching skills of the candidate. **Examples of Potential Letters:**

- Letters from colleagues and students who have had opportunities to observe the candidate in teaching situations attesting to 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.
- 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).
- 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.

## Promotion to Professor, Teaching Stream

### Criteria for Promotion to the rank of Professor, Teaching Stream

For promotion to the rank of Professor, Teaching Stream, candidates must consistently meet the standard of excellence in teaching and demonstrate ongoing pedagogical/professional development (as listed below), sustained over many years. When reviewing candidates for promotion to the rank of Professor, Teaching Stream, educational leadership and achievement (as listed below) is also assessed as a separate criterion, distinct from teaching excellence. This assessment is undertaken in accordance with the Policy and Procedures Governing Promotions in the Teaching Stream (Part 9), which indicates that:

*Sustained over many years, educational leadership and/or achievement is often reflected in teaching-related activities that show significant impact in a variety of ways, for example: through enhanced student learning; through creation and/or development of models of effective teaching; through engagement in the scholarly conversation via pedagogical scholarship, or creative professional activity; through significant changes in policy related to teaching as a profession; through technological or other advances in the delivery of education in a discipline or profession.*

### Excellent Teaching

Teaching stream faculty demonstrate excellent teaching in lectures, seminars, research and teaching labs and tutorials, as well as in less formal settings, including advising and mentoring students.

To be judged to have excellent teaching skills, there must be evidence of:

- Mastery of the subject area
- Strong communication skills
- The ability to stimulate and challenge the intellectual capacity of students and promote their intellectual and scholarly development
- Being accessible to students inside and outside the classroom
- Fair and ethical dealings with students that recognize the diverse needs and backgrounds of our student population
- Creation of supervisory conditions conducive to an undergraduate/graduate student's academic progress, intellectual growth and the development of research skills.
- Professionalism and adherence to academic standards and administrative responsibilities as defined by University policy.

In addition to demonstrating excellence on the criteria listed above faculty should also demonstrate that they:

- Use meaningful methods of assessment that reflect and contribute to student learning (e.g. the use of formative and summative assessments)
- Engage students in the learning process
- Reflect on, and strive for, improvement in teaching-related activities

- Create opportunities that involve students in the research process, where appropriate (e.g. presenting or publishing with students, mentoring/coaching students)
- Actively integrate one's own research, into teaching practice and curriculum
- Ensure course content reflects current and relevant research and practice in the field.

In addition to excellent teaching skills, as defined above, candidates must demonstrate evidence of some combination of creative educational leadership and/or achievement, and innovative teaching initiatives. Examples are set out below:

- Successful innovations in the teaching domain, including the creation of significant and innovative teaching processes, materials, and forms of evaluation
- Development of significant new courses and/or reform of curricula
- Significant contributions to the technological environment of teaching in a given area, for example, through the development of effective new technology or the use of new media to fullest advantage
- Development of innovative and creative ways to promote students' involvement in the research process and provide opportunities for students to learn through discovery based methods
- Using ones expertise and experience to deepen student understanding and enrich the application of theory. For example:
  - Enabling students to build relationships to local communities and communities of practice
  - Offering significant opportunities for community engagement
- Ability to design unique learning experiences for students connected to professional practice
- Significant contributions to pedagogical changes in a discipline, for example through publication of innovative textbooks and/or teaching guides that are adopted beyond the Faculty of Medicine.

### **Criteria for Assessment of Pedagogical/Professional Development for Teaching Stream Faculty**

Separately, teaching stream faculty must also demonstrate evidence of continuing pedagogical/professional development. Examples are set out below.

- Consistent engagement in pedagogical professional development (e.g. participation in workshops, seminars, conferences and/or courses on teaching and learning; keeping abreast of current pedagogical research in one's field) and the application of these activities to enhance the quality and effectiveness of one's teaching
- Reflection on and assessment of new teaching practices
- Conducting research on teaching and/or learning that has potential for impact beyond a single classroom
- Dissemination of one's own pedagogical research (e.g., through scholarly articles or educational resources, presentations at conferences or workshops)
- Teaching-related activities outside the faculty member's classroom functions and responsibilities

- Professional work that allows the faculty member to maintain a mastery of the individual's subject area
- Discipline-based scholarship in relation to, or of relevance to, the field in which the faculty member teaches.

**The Teaching Dossier** should include the following as appropriate:

- A statement of teaching interests and philosophy
- A list of graduate and undergraduate courses, taught by the candidate (for promotion, during at least the preceding five (5) years.)
- Representative course outlines and assessments
- For courses in which the candidate has had major responsibility for the design, at minimum the course outline, reading list if applicable and evaluation materials (e.g., assignments and/or examinations)
- A list of all students whose research work has been supervised by the candidate, indicating whether primary or sole supervision or secondary and/or joint supervision, period of supervision, as well as thesis topics and time to completion. When relevant, copies of students' papers, especially those that have been published, and student theses may be included.
- Summaries of annual student evaluations and unsolicited opinion letters or testimonials from students regarding teaching performance
- Applications for instructional development grants, where applicable
- Documentation of efforts made (both formal and informal) to improve teaching skills or course design and a description of the outcomes
- Awards or nominations for awards for teaching excellence
- Documentation of innovations in teaching methods and contributions to curricular development, including activities related to the administration, organizational and developmental aspects of education and the teaching process, where applicable
- Examples of efforts to mentor colleagues in the development of teaching skills and in the area of pedagogical design
- Evidence of contributions in the general area of teaching such as presentations at conferences or publications on teaching
- Service to professional bodies or organizations through any methods that can be described as instructional
- Community outreach and service through teaching functions
- Plans for developing teaching skills and/or future contributions to teaching.

### **Data Collection**

Candidates shall be responsible for submitting their Teaching Dossier to the Chair of the Department. The Chair shall collect student course evaluation data, solicit letters from students and from the candidate's peers, and will also obtain written specialist assessments from outside the University as required by policy.

### **Evaluation:**

A Teaching Evaluation Committee shall serve to assess the material collected and provide a single, joint, and signed written report. For promotion in the Teaching Stream from Associate Professor, Teaching Stream to Professor, Teaching Stream, the report will address the candidate's teaching effectiveness as well as the candidate's demonstrated educational leadership and/or achievement and the candidate's ongoing pedagogical and professional development.

## Information Required for Evaluations

The evaluation of teaching must be as thorough as possible. The sources of information for the evaluation should include, but are not limited to:

1. Faculty member's teaching dossier.
2. Student evaluations, as comprehensive and objective as possible. This should be in the form of student letters solicited by the Chair. Such information should be gathered from students who have been taught and those who have been supervised by the faculty member.
3. Student course evaluations: Copies of teaching/course evaluations for a representative period of the candidate's career at the University should be included in the dossier. The Faculty of Medicine requires that end-of-course student evaluation forms on teaching excellence be completed in courses taught by faculty in programs administered either solely by Medicine, or those given in partnership with another Faculty (e.g. the Life Science Programs administered through the Faculty of Arts and Science). Where a candidate for promotion is, or has been teaching at the University of Toronto at Mississauga or at the University of Toronto at Scarborough, teaching/course evaluations from the respective campus should be obtained by the Chair and included in the candidate's dossier. A comprehensive summary of all teaching evaluations should be prepared for the Teaching Evaluation Committee and included in the teaching dossier.
4. Formal peer evaluation (internal and/or external) is considered best practice, including other departmental or divisional assessments where cross-appointment is involved. External assessments of syllabi are also encouraged.
5. For the purposes of promotion to Professor, Teaching Stream, written specialists' assessments of the candidate's teaching and pedagogical/professional activities should be obtained from outside the University. The candidate should be invited to nominate several external referees, and the Chair of the Department should solicit letters of reference from at least one of them and from one or more additional specialists chosen by the Chair.
6. Course enrolment data; including evidence of demand for elective/selective/graduate courses
7. Documentation may include, but is not limited to, publications in a variety of media including but not limited to, scholarly and professional journals, non-peer-reviewed or lay publications, books, CDs, online publications, invited lectures and presentations given at conferences, design of and contribution to academic websites, examples of professional work, and any other evidence of professional development.

### 3.4 ADMINISTRATIVE SERVICE

#### *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' 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

## 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

## **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 Chair of the Department.

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.

*The University is a leading organization in supporting family life and in keeping with our values, the Faculty of Medicine recognizes that, where appropriate, the Chair's recommendation letter to the Dean may include the identification of a gap in academic productivity due to a pregnancy, adoption, parental or caregiver leave.*

### 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>.

**Candidates for Promotion, Teaching Stream should refer to the University of Toronto Policy and Procedures Governing Promotions in the Teaching Stream, Curriculum Vitae, Section 14:** <http://www.governingcouncil.lamp4.utoronto.ca/wp-content/uploads/2017/01/p0105-papfgp-2016-2017pol.pdf>

#### 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 *page 16*).
2. Teaching Philosophy
3. Creative Professional Activities Statement (see *page 21*).

**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** may be included 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 page 17).

### **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 page 17) 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 on *page 15* 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 on *pages 18-22* of this manual.
- **Documentation of Teaching and Education** is detailed on *pages 23-34* of this manual.
- **Documentation of Administrative Service** is detailed on *page 35* of this manual.

## 4.3 Letters of Reference

### *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. 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>

Similarly, candidates for Professor, Teaching Stream are required to have three external referees. The candidate should be invited to nominate several external referees and the Department Chair should solicit letters of reference from at least one of them and from one or more additional specialists chosen by the Chair. Whenever possible, internal referees should be obtained; formal peer evaluation (external and/or internal) is considered best practice and external assessments of syllabi are also encouraged. See the Faculty of Medicine Guidelines For The Assessment of Teaching Effectiveness in Promotion for Teaching Stream Faculty, <https://www.aapm.utoronto.ca/wp-content/uploads/sites/129/2019/04/Faculty-of-Medicine-Teaching-Guidelines-April-2019.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 (not applicable to Professor, Teaching Stream).

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. Chair of the Departments 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 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). Copies of all letters sent out are required to be submitted with the dossier including those from people who have declined to review.

### ***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 letters 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 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 a letter are instructed to submit their responses to the department via an e-mail attachment.

**Important Note on Letters**

The DPC and the Chair of the Department 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 letter from the Chair must be provided to the Dean, via the Faculty of Medicine's HR office confirming that all letters received were included in the Promotion Dossier.

## 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 complete the below chart and 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.

Do you know the candidate personally? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you collaborated with the candidate in the last five years? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you ever acted as a teacher, supervisor or mentor to the candidate? Yes <input type="checkbox"/> No <input type="checkbox"/>
---

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

## 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 complete the below chart and 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.

Do you know the candidate personally? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you collaborated with the candidate in the last five years? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you ever acted as a teacher, supervisor or mentor to the candidate? Yes <input type="checkbox"/> No <input type="checkbox"/>
---

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 \_\_\_\_\_

**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 complete the below chart and 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.

Do you know the candidate personally? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you collaborated with the candidate in the last five years? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you ever acted as a teacher, supervisor or mentor to the candidate? Yes <input type="checkbox"/> No <input type="checkbox"/>
---

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 \_\_\_\_\_

**Sample Letter to Internal/External Referees Requesting Written Assessment of Associate Professor, Teaching Stream Candidate for Promotion to Professor**

Dear:

I am writing to request your written assessment of Professor \_\_\_\_\_, of the Department of \_\_\_\_\_ who is being considered for promotion to Professor, Teaching Stream 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 complete the below chart and 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.

Do you know the candidate personally? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you collaborated with the candidate in the last five years? Yes <input type="checkbox"/> No <input type="checkbox"/> Have you ever acted as a teacher, supervisor or mentor to the candidate? Yes <input type="checkbox"/> No <input type="checkbox"/>
---

The University Policy and Procedures on Promotions requests referees to comment on the (1) the achievement of excellent teaching, (2) educational leadership and/or achievement, and (3) ongoing pedagogical/professional development, sustained over many years against the criteria as set out in the Faculty of Medicine Teaching Effectiveness Guidelines:

<https://www.aapm.utoronto.ca/wp-content/uploads/sites/129/2019/04/Faculty-of-Medicine-Teaching-Guidelines-April-2019.pdf>

**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 achievements meet the criteria of excellence.**

Specific appraisal of significant items, in addition to an overall judgment of Professor \_\_\_\_\_’s achievement in teaching, educational leadership and ongoing pedagogical/professional development would greatly assist the committee.

In the Faculty of Medicine, achievement in teaching, educational leadership and ongoing pedagogical/professional development can encompass the following components (please refer to attached Faculty of Medicine Effectiveness Guidelines for more detail):

- development of significant new courses and/or reform of curricula
- successful innovations in the teaching domain, including the creation of significant and innovative teaching processes, materials, and forms of evaluation
- dissemination of one’s own pedagogical research (e.g., through scholarly articles or educational resources, presentations at conferences or workshops)
- actively integrate one’s own research, into teaching practice and curriculum
- ensure course content reflects current and relevant research and practice in the field
- significant contributions to pedagogical changes in a discipline
- reflection on and assessment of new teaching practices
- 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 \_\_\_\_\_

**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\_2019\_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 [\[dept.admin@utoronto.ca\]](mailto:dept.admin@utoronto.ca) if you have any questions or concerns.

## **Sample for Student Letter**

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 a letter concerning Professor \_\_\_\_\_'s teaching.

In particular, please comment on their 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 letter 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 a letter, 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 Chair of the Department 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 they deserve 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. The letter may include the identification of a gap in academic productivity due to a pregnancy, adoption, parental or caregiver leave.**

In this letter, the Chair must also:

- 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 Chair of the Department 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 Chair of the Department 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.

**Sample Letter of Recommendation to the Dean For All Groups Other Than Professor, Teaching Stream**

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 Professor/Professor, Department of \_\_\_\_\_, effective July 1, \_\_\_\_, My recommendation is based upon the following assessments of their scholarly activities.

Area	Chair Recommendation	DPC Recommendation
	Excellent Competent N/A	Excellent Competent N/A
Research	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
CPA	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Teaching and Education	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Waiver of External Review	<input type="checkbox"/>	

**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 Chair of the Department 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 **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 Chair of the Department 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 reputation 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 Chair of the Department 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 Chair of the Department 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 \_\_\_\_\_

## Sample Letter of Recommendation to the Dean, Professor, Teaching Stream

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 Professor, Teaching Stream, Department of \_\_\_\_\_, effective July 1, \_\_\_\_. My recommendation is based upon the following evidence of accomplishment in excellent teaching, educational leadership and/or achievement, and ongoing pedagogical/professional development.

*To support the above statement, it is suggested that the Chair of the Department comment on the following (this is not an exhaustive list – other issues may be added, see Faculty of Medicine Guidelines For The Promotion for Teaching Stream Faculty, <https://www.aapm.utoronto.ca/wp-content/uploads/sites/129/2019/04/Faculty-of-Medicine-Teaching-Guidelines-April-2019.pdf>):*

- *Evidence of demonstration of excellent teaching in lectures, seminars, research and teaching labs and tutorials, as well as in less formal settings, including advising and mentoring students.*
- *Evidence of creative educational leadership and/or achievement and innovating teaching initiatives.*
- *Evidence of continuing pedagogical/professional development*
- *Comments on the appropriateness of the external assessors*
- *Student course evaluations, student letters solicited by the Chair of the Department.*
- *Formal peer*
- *evaluation, including internal and external. External assessments of syllabi if included.*
- *Written specialists assessments of the candidate's teaching and pedagogical/professional activities (obtained from outside the University, chosen by the Chair of the Department).*

In summary, \_\_\_\_\_

I am pleased to recommend them for promotion to the rank of Professor, Teaching Stream. \_\_\_\_\_.

Sincerely,

Chair, Department of \_\_\_\_\_

## 4.5 Assembly of the Promotion Dossier for the Decanal Promotion Committee

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) Full-time  Clinical (MD) Part-time  
 Clinical (MD) Adjunct  
 Tenured  Teaching Stream, Professor  Grant Funded Contractually Limited Term  
 Non-clinical Part-Time Salaried  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

## 4.6 Promotion Dossier Checklist For All Groups Other Than Professor, Teaching Stream

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 Chair of the Department
- 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/ Chair of the Department: Copy of the letter from the DPC/Chair of the Department to the candidate advising of the negative recommendation with reasons.*

### External Assessments

- External Letters of Reference (**minimum of three**)
- Colleague Letters (*if applicable*)
- 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 (**no minimum**)
- Colleague Letters (*if applicable, page 43*)
- 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 Letters (**minimum of three**)
- Student Letter List (**Table 6**)
- Letters to students requesting letters

### Curriculum Vitae

- Curriculum Vitae
- Five Most significant publications (since last promotion)

**Research**

- Research Statement and Documentation (*page 16*)
- 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 (*pages 18 and 64*)
- Appraisal letters from community agencies (*if applicable*)
- CPA- Additional Assessments

**Teaching and Education**

- Teaching and Education Documentation (*page 23*)
- Teaching Evaluation Committee Report (*if applicable*)
- Data Summary Sheet, Teaching (**Table 7**)

**Administrative Service**

- Administrative Service Documentation (*page 35*)

## 4.7 Promotion Dossier Checklist for Teaching Stream, Professor

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 \_\_\_\_\_

#### Chair's Report

To include:

- Comments on the appropriateness of the external assessors
- A thorough discussion of the reasons for the recommendation, including comments on any negative elements, and how these were understood by the committee in relation to the three criteria for promotion

#### Committee Membership

- Name, rank and academic unit

#### Curriculum Vitae

- Consult PPPTS section 16 and your divisional guidelines on the assessment of the effectiveness of teaching, <https://www.aapm.utoronto.ca/wp-content/uploads/sites/129/2019/04/Faculty-of-Medicine-Teaching-Guidelines-April-2019.pdf>

#### Internal Assessments

- Confidential written assessments of the candidate's teaching, educational leadership And/or achievement, and ongoing pedagogical/professional development, should be obtained from specialists in the candidate's field from outside the University and whenever possible from inside the University. (PPPTS, Section 11)

#### External Assessments

- Minimum of three letters
- Names, academic rank and institution of those from whom opinion is sought
- Indication of those individuals suggested by the candidate and those by the Chair
- Comments concerning the appropriateness of external referees selected

#### Written assessments of the candidate's teaching effectiveness

- Evidence from the individual's peers and from students (may include Teaching Evaluation Committee Report, solicited student letters, etc.) as separate sections in accordance with the approved divisional guidelines for the evaluation of the effectiveness of teaching

**4.8 Data Summary Sheets (not applicable for Professor, Teaching Stream)**

**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
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>

**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
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>

**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)
<b>Total</b>			

**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

**Table 6 : Data Summary Sheets**  
**Student 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
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

**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

### **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 Professor and 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”. Both are deemed to be useful to faculty 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Provision of a vision statement for the CPA that is related to applicant's position/appointment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Clear goals for each CPA activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Goals were based upon community/population identified needs/strengths	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Activities and/or processes were developed with community partners if applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Role of Applicant in CPA</b>				
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?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Impact &amp; Significance</b>				
8. Quantitative and qualitative evaluation of program/activities occurred	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Evidence of significant impacts or change to community/population/policy/clinical practice to determine excellence in CPA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Evidence that outcomes have led to improvements, new approaches or better understanding in service/quality of care/processes/policies/fundamentals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Evidence of adoption of approach or use of product by others (National/International)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Non-conflicted and colleague letters demonstrating impact at community/sector levels (National and International)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Evidence of sustained relationships/partnerships with community/organizations/populations (how will CPA be sustained?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Dissemination/Knowledge Translation</b>				
14. Multiple dissemination strategies applied (articles-peer-reviewed/non-peer-reviewed, rounds, novels, films, newsletters, journals, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Dissemination to the scholarly/trainee/non-scholarly peer/lay community (evidence of dissemination)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 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.*