

# Promotion and/or Granting of Continuing Appointment: Full-Time Clinical Faculty Guide



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## INTRODUCTION

For a full-time clinical faculty member to be considered for promotion and/or granting of a continuing appointment, a dossier is prepared which documents a candidate's accomplishments, evaluations from peers, students and potential external review. This dossier will be evaluated at both the Department and Faculty level against the standards required, according to the criteria listed below (extracted from the Conditions of Appointment for Physicians 2018 and as applicable to the role descriptions (Academic Role Category (ARC), Statement of Expectations and Responsibilities (SER) and/or a Department specific prior role description if applicable).

If a dossier is approved by first the Department Appointments and Promotions Committee (Department A&P Committee) and then by the Schulich Appointments and Promotion Committee (Schulich A&P Committee), the Provost completes the final review. The decision of the Provost is the final approval.

It is the shared responsibility of the candidate, the Department A&P Committee and the Schulich A&P Committee to ensure that a candidate's dossier is accurate and complete.

## INSTRUCTIONS TO CANDIDATES

1. **CAREFULLY READ** this package which explains the process and information which you must provide for a dossier.
2. **PREPARE THE INFORMATION** following the outline given in this package.
  - Ensure that your Curriculum Vitae (CV) and Teaching Dossier are up-to-date and accurate and that all information requested is included. **The CV and Teaching Dossier must be submitted in the Acuity STAR format (SSMD Promotion CV and SSMD Teaching Dossier respectively).** CVs and Teaching Dossiers submitted in any other format will not be considered.
  - To access Acuity STAR, or to access a contacts page with the name and contact information for your department's Acuity Star Coordinator, please go to the Acuity STAR project website at the following link:
    - <https://www.schulich.uwo.ca/star/>
  - Or to login in: <http://www.star.schulich.uwo.ca/>
  - Draft, edit and finalize your **Candidate's Statement** and **Teaching Philosophy** summarizing your academic contributions and how you have met the criteria in relation to your Academic Role Category description.
    - Describe your academic activities in your Candidate's Statement or in your Teaching Dossier. All information listed as **REQUIRED** in the Teaching Dossier section of this Guide must be included. You may also choose to include those items listed as "Recommended" and "Optional." Consider carefully **your choices for students, peers and, if applicable, external referees** to evaluate your accomplishments.
    - **Choose which publications to include** for critical review by external referees (if applicable).
3. **SUBMIT ALL INFORMATION** to your department chair or designated departmental administrator by the deadline provided by the department.
4. **REVIEW THE COMPLETED DOSSIER** including reports from peers, students and external referees (if applicable) before the Departmental Appointments and Promotions Committee meets for the final fall meeting. REVIEW THE DOSSIER CAREFULLY. This is your opportunity to ensure that it is complete and accurate before the committee review process begins. If you have concerns, you may wish to revise your Candidate Statement before your dossier is reviewed by your departmental committee. You will be asked to sign off, indicating that you have reviewed the contents.

# **CRITERIA FOR PROMOTION AND/OR GRANTING OF CONTINUING APPOINTMENT FOR FULL-TIME CLINICAL ACADEMICS**

## **Schulich School of Medicine & Dentistry, Western University**

*(Extracted from The University of Western Ontario and the Schulich School of Medicine & Dentistry, Conditions of Appointment for Physicians (2018), approved by the Board of Governors April 26, 2018)*

Each candidate for promotion and/or the granting of a Continuing Appointment is expected to establish a record of performance demonstrating that the candidate is creating and disseminating knowledge through teaching and research and providing leadership. The candidate is expected to establish a record of performance as set out in the expectations in their Academic Role Category document. Assessment of performance will be based on the weight of each Academic Role Category (i.e. clinical teaching, teaching, research, administration, role model, health care leadership and general contributions as stated in the candidate's ARC).

The performance will be considered with reference to the national and international standards within the candidate's discipline.

A candidate for promotion from one rank to the next rank is expected to have increased quality and impact of academic contributions with each progressive rank.

The performance from one rank to the next rank will demonstrate an expansion of their impact from the local to international arenas with each progressive rank (i.e. Lecturer –local/regional; Assistant Professor – regional/provincial; Associate Professor – provincial/national; Professor – national/international.)

The rank of Associate Professor is a career rank. To continue as a full-time Clinical Academic achievement of the rank of Associate Professor is necessary and achievement of the rank of Professor is strongly encouraged.

The rank of Professor is the highest rank that the University can bestow and its conferral will be in recognition of high achievement. A candidate for Appointment or promotion to the rank of Professor is expected to have established a record of performance that is substantially greater than the record of performance required to achieve the rank of Associate Professor. A Professor is expected to be recognized nationally and/or internationally for his/her expertise. Although high achievement over a sustained period will be expected of a successful candidate for the rank of Professor, length of service alone will not be a criterion for promotion.

A Clinician Administrator will be evaluated with their administrative work categorized as being in the domain of research, education or health care leadership, as appropriate.

At the time of the consideration of a candidate, evidence will be provided to the appropriate committees and to the Provost that the candidate has established a record of performance consistent with the requirements above and in accordance with the following criteria as relevant to the Academic Role Category.

## CRITERIA TO CONSIDER FROM TEACHING AND ASSOCIATED ACTIVITIES

Performance in Teaching and Associated Activities includes: teaching and/or evaluating undergraduate students, graduate students, post-graduate students, practicing physicians and health care professionals and education of the public.

Performance in this category may include, but is not limited to, the following:

- i) Teaching responsibilities
  - Lectures, seminars, clinical teaching
  - Supervision of research trainees
  - Continuing Education teaching
  - Community outreach teaching
  - On-line teaching
- ii) Teaching innovations
  - Initiatives to improve didactic and clinical education
  - Course design and curriculum development
  - Development of effective and innovative evaluation tools
  - Development of effective and innovative teaching resources
- iii) Evidence of teaching effectiveness
  - Course and instructor evaluations
  - Awards and recognition
  - Student success: scholarships, awards, etc.
- iv) Professional development
  - Delivering courses on teaching
  - Undertaking peer evaluation
  - Contributed presentations at professional meetings on teaching: contributed platform presentations on teaching; poster presentations on teaching
- v) Educational leadership
  - Academic administration, academic planning and policy making
  - Academic advising activities (mentoring)
  - Teaching of education methods and instructional development
  - Board examiner
  - Accreditor of academic programs
  - Course director

## CRITERIA TO CONSIDER FROM RESEARCH AND SCHOLARLY ACTIVITIES

For an individual Clinical Academic, the nature, quantity and quality of research and scholarly activities will be assessed within the context of their Academic Role Category and their research area. Performance Indicators may vary by research area.

Research activities may be related to clinical, basic science, health service, education and evaluation research. Research activities may include, but are not limited to, original research, multi-centre clinical investigation, innovation of new concepts or techniques, invention of medical apparatus, case reports and/or description of the natural history of disease and knowledge synthesis.

Where a Clinical Academic undertakes research as part of his or her ARC, the Clinical Academic is obliged to ensure that, in the dissemination of research, the Clinical Academic's affiliation with The University of Western Ontario is properly acknowledged and that significant contributions of others to the research are also properly acknowledged.

Performance in this category may include, but is not limited to, the following activities in relation to research (taking into account the norms of the subspecialties and fields):

- i) Publication of manuscripts. Performance indicators of impact could include, but are not limited to: journal impact factors, number of citations per year, cumulative number of citations in lifetime and in last 5 years, h-index - in lifetime and in last 5 years, authorship (first/senior author vs co-author). Consideration of multiple indicators is encouraged.
- ii) Contributed presentations at scientific meetings: contributed platform presentations, poster presentations
- iii) External recognition of research expertise: invited lectures at scientific meetings, visiting professorship to other universities, lectures in other departments, awards (career awards, endowed Chairs), invited book chapters
- iv) Research service and leadership: peer-review of manuscripts and grant applications, editorial duties, editorial board of a journal/special issue
- v) Knowledge translation: patents and copyrights, commercialization, impact on clinical practice and/or community health
- vi) Securing competitive funding for research: internal, external granting agencies, industry. Consideration will be given to the scope of the project and the role of the Clinical Academic (Principal Investigator (PI), co-PI, co-investigator or collaborator)

When the Department is recommending a candidate in the Academic Role Category Clinician Educator, Clinician Researcher or Clinician Scientist be put forward for promotion, the written opinion of at least three independent expert referees in the candidate's areas of specialization will be sought to aid the Committee's evaluation of performance in Research and Scholarly activities.

Referees must:

- i) be at arm's length from the candidate (not be a relative, close personal friend, current or former colleague, former thesis advisor, research supervisor, grant co-holders or co-authors in relation to the candidate), subject to the provisions of relational disclosure permitted at Clause 6.5.9 v);
- ii) be external to Western University;
- iii) hold an academic rank equivalent to or above that being sought by the candidate; and
- iv) be proposed on the basis of their ability to assess the quality of the candidate's contributions to the field and whether the candidate should be granted promotion.

In evaluating research, creativity and quality will be assessed as well as quantity.

## **CRITERIA TO CONSIDER FROM ROLE MODEL, GENERAL CONTRIBUTIONS AND HEALTH CARE LEADERSHIP**

### **Performance in Role Model**

Physician role models affect the attitudes, behaviours and ethics of learners and health care practitioners. Role models foster professional values in learners, colleagues and patients. (e.g. physicians and other health professionals).

Performance in this category may include, but is not limited to, the following:

- i) peer recognition as a clinical expert in a discipline, specialty, sub-specialty or an area of clinical research, as indicated by unsolicited referrals from academic colleagues and professional(s) as a whole. (e.g. nominations, awards and other recognitions)
- ii) innovation and/or leadership in the development or application of programs for improving health care delivery, quality of care, patient safety and satisfaction and/or quality assurance especially as it relates to linkages with education and the practice of medicine or other health professions
- iii) other contributions to the discipline or special area of interest(s) which have promoted scholarship and excellence in the clinical setting (e.g. creation of methods to evaluate outcomes of care)
- iv) participation in ethics committees, contribution to the meaningful development of ethical frameworks and demonstrated application of ethical frameworks to a clinical or educational setting (e.g. contribution to the literature, presenting rounds, committees dealing with ethical dilemmas)
- v) demonstration of empowering, recognizing and valuing others. (e.g. formal mentoring, nominating others for awards, promotion, providing review of promotion files or other types of recognition)

### **Performance in General Contributions**

Performance in this category may include, but is not limited to, the following:

- i) Meaningful contributions as an active member on committees, task forces, boards and other administrative roles within:
  - the Department, Faculty, University

- professional organizations at the local, provincial, national or international level
  - community agencies or organizations related to the individual's role at the University
  - regulatory or licensing bodies such as the College of Physicians and Surgeons of Ontario, Royal College of Physicians and Surgeons of Canada, College of Family Physicians of Canada, etc.
- ii) Elected or appointed leadership roles in committees, task forces, boards and other administrative roles
- at the Department, Faculty or University level
  - within professional organizations at the local, provincial, national or international level
- iii) Consultations (e.g. external reviews, accreditation visits) to other academic departments, faculties, universities, government and industry
- iv) Recognition for service and/or contributions
- at the Department, Faculty or University level
  - in local, provincial, national or international professional organizations, humanitarian and/or global health contributions

### **Performance in Health Care Leadership**

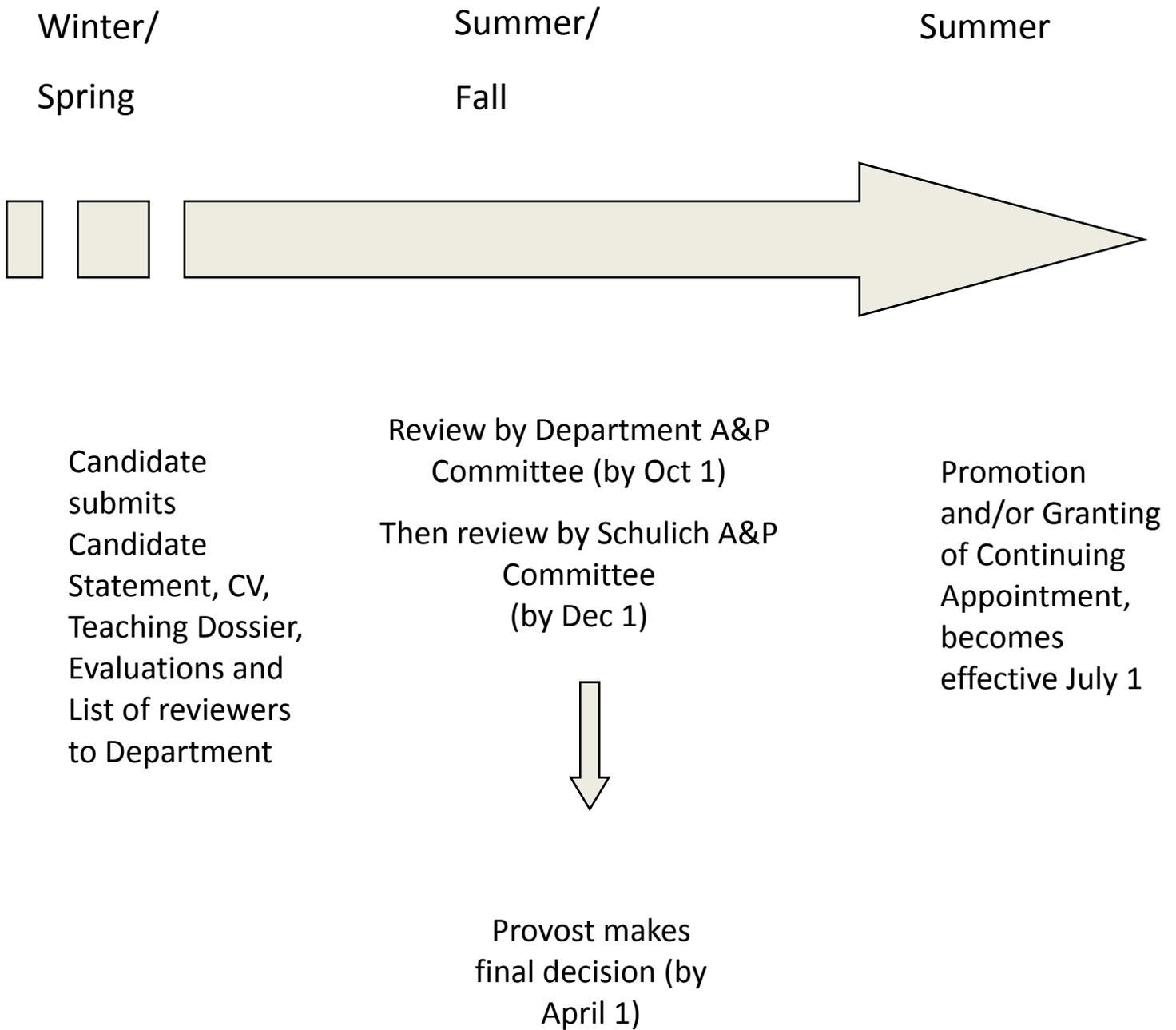
Health care leadership involves both formal leadership (i.e. a designated leadership role) and informal leadership (i.e. supports, enables and influences change and improvement)

Performance in this category may include, but is not limited to, the following:

- i) Organization of programs or championing a major health care initiative or leading knowledge transfer initiatives aimed to improve quality of patient care or patient safety
- ii) Meaningful leadership contribution to committees, task forces, boards and other administrative roles within health care (e.g. pharmacy and therapeutics committee, medical advisory committee)
- iii) Elected or appointed leadership roles in committees, task forces, boards and other administrative roles within health care at the local, regional, provincial, national or international level(s) (e.g. hospitals, community-based organizations, government committees)
- iv) Consultations to other health care organizations locally, provincially, nationally or internationally
- v) Recognition for service in health care at the local, regional, provincial, national or international level
- vi) Meaningful contributions leading to the development and/or implementation of policy and/or guidelines to improve patient care and/or health service delivery

Assessments on the meaningfulness of contributions on committees would include consideration of evidence of impact in respect of various aspects of involvement including, but not limited to: preparation, attendance, participation, contribution to formation of ideas, literature/other program review, writing guidelines, etc.

# TIMELINE – SUCCESSFUL PROMOTION/GRANTING OF CONTINUING APPOINTMENT



## THE PROCESS

### WINTER/SPRING

Full-time clinical faculty, who will be entering their sixth year as Assistant Professor or their fourth year as Associate Professor, limited term will be considered by the Department A&P Committee for promotion and/or granting of a continuing appointment. A full-time clinical faculty member at the Associate Professor level may also request consideration for promotion by contacting the Department Chair or designated departmental administrator.

Each candidate to be considered by the Department A&P Committee is sent information detailing what is required to complete the dossier. The candidate provides the information requested by a department-defined date. This information includes the Promotion CV (SSMD Promotion CV) and the Teaching Dossier (SSMD Teaching Dossier) which must both be submitted in **Acuity STAR** format.

If reports from external referees are to be included (required for all cases in the Academic Role Category **Clinician Educator, Clinician Researcher or Clinician Scientist**), the candidate provides possible external referee names as part of the information. The Department A&P Committee may add additional names to the list of external referees with the candidate's approval. The Committee then selects external referees from the list. The selection of external referees is a very important part of the process. External referees are individuals outside The University of Western Ontario, at the rank of Associate Professor or above, with expertise which qualifies them to comment in an independent and unbiased manner on your selected research papers and your reputation in research and scholarly activities. In addition to providing contact information and a short bio, you will need to state the nature of your relationship with the external referees, if any. This may include participating in the same Associations or Societies, participating in national courses together, etc.

**THE PEOPLE SELECTED SHOULD NOT KNOW YOU WELL** (i.e. not relatives, personal friends, co-authors, graduate teachers or thesis supervisors, former students, collaborators, co-workers, etc.) but may be familiar with your research and/or teaching. External referees must hold the rank at or above to which the candidate is applying.

The Department Chair writes to external referees, students and peers for assessments of the candidate's accomplishments. The candidate does not contact peers or students directly as the contact must come from the Chair. Should the Department A&P Committee also wish to add to the names of students and peers, the candidate will again approve any additions.

The Department Chair or designated administrator assembles statistical ratings/evaluations of teaching available from department/faculty records and systems.

## **LATE AUGUST/EARLY SEPTEMBER**

The candidate reviews a *sanitized* version of the completed dossier (in which reports of peers, students and external referees appear without identification of the assessors) and signs a form indicating that the dossier is considered complete and accurate. If you have concerns, you may wish to revise your Candidate Statement before the dossier is reviewed by your Department A&P Committee or speak to your Chair/Chief to ensure your concerns are discussed at the committee meeting.

The Department Chair and Appointments and Promotions Committee then review the dossier and make their recommendations to the Dean no later than October 1st. The Department Chair makes a separate recommendation. Candidates not approved by both the Department A&P Committee and Department Chair may appeal.

Next, the Schulich A&P Committee reviews the dossier and department recommendation and makes a recommendation regarding promotions to Associate Professor, Professor and/or granting of continuing appointment. The Dean or Dean's delegate will make a separate recommendation by December 1<sup>st</sup>. Candidates not approved by both the Schulich A&P Committee and the Dean or Dean's delegate shall have the right to consult with the Dean or Dean's delegate and the Schulich A&P Committee.

Dossiers approved by the Schulich A&P Committee and Dean or Dean's delegate are submitted to the Provost and Vice-President (Academic). The Provost shall review the recommendations for promotion to Associate Professor, granting of continuing appointment and promotion to Professor by April 1<sup>st</sup>.

Should the Dean or Dean's delegate and Schulich A&P Committee be considering a negative recommendation, they may request additional information from the Candidate and/or Department Chair and Department A&P Committee, or a consultation with the Department Chair and one or more members of the Department A&P Committee. If the final recommendation of the Dean or Dean's delegate and the Schulich A&P Committee are both negative, further steps are available and may be reviewed under Clauses 6.6, 6.7 of the Conditions of Appointment for Physicians.

## **SPRING/SUMMER**

If approved by the Provost, promotion and/or change from a limited term to continuing appointment becomes effective on July 1<sup>st</sup>.

## INFORMATION TO BE PROVIDED BY CANDIDATES

Please provide complete and accurate information as requested on the following pages. All of this information is required in order for you to be considered for promotion and/or granting of a continuing appointment.

1. Promotion Curriculum Vitae (SSMD Promotion CV from **Acuity STAR**)
2. Teaching Dossier (SSMD Teaching Dossier from **Acuity STAR**)
3. Evidence of Teaching Effectiveness (From **Word via One45**) – i.e. evaluations
4. Teaching Summary (From **Word**)
5. Candidate's Statement (From **Word**)
6. List of Students to be contacted to comment on teaching including contact information.
7. List of Peers to be asked to comment on teaching, scholarly activity and other contributions to the University, including contact information.
8. List of External Referees (if applicable), including contact information, a short bio, and a statement on the nature of the relationship you have with them (if any)
9. Publications for Critical Review and contribution to each – if applicable
10. Career Development Plan Summary Page(s) of all annual reviews

## CURRICULUM VITAE

An up-to-date Promotion Curriculum Vitae (SSMD Promotion CV) must be generated from **Acuity STAR** and must contain the information as set out below.

### NOTES:

- Clear information on your teaching activities are described in the Teaching Dossier (Teaching Dossier described in the following pages). Teaching activities must be provided separately from your Promotions Curriculum Vitae (SSMD Promotion CV).
- The Schulich A&P Committee members will not be familiar with initials and acronyms in your specialty. Please use full names for awards, granting agencies, committees, etc. You may also wish to state the purpose of awards, e.g. travel award, graduate student award, summer studentship award.
- Please be exact in outlining your role and contributions to peer-reviewed publications and grants, especially where you are not the Principal Investigator or first/senior author.
- Be sure date ranges or end dates are current. If an end date is stated as 'to present', ensure this is accurate.

### Acuity STAR – SSMD Promotion CV

NAME: **Auto Generated**

RANK, STATUS: **Auto Generated**

DEPARTMENT: **Auto Generated**

REVISION DATE: **Auto Generated**

ADDRESS: Primary Office Address **REQUIRED**

TELEPHONE NUMBER: Primary Office Phone Number **REQUIRED**

E-MAIL ADDRESS: Primary e-mail Address **REQUIRED**

EDUCATION: **REQUIRED** (Including:)

- University Degrees - University, Department, Date Conferred, Thesis Title, Supervisors
- Internship
- Post Graduate and/or Postdoctoral Training
- Specialty Qualifications and Licences Held

ACADEMIC / EMPLOYMENT HISTORY:

**REQUIRED** (Including:)

- Academic Appointments (Dates, Rank and Position, Department, Institution)
- Administrative Appointments (Dates, Rank and Position, Department, Institution)
- Leaves / Absences
- Summer Studentships and Fellowships Held

AWARDS, HONOURS, FELLOWSHIPS, SCHOLARSHIPS:

**REQUIRED** (Including:)

(include those awarded during your University education)

- Provide a brief description of each and its purpose

CONTINUING EDUCATION: (list under separate headings)

**REQUIRED** (Including:)

- Conference and professional annual meeting attendance
- Continuing Education attended (in your discipline)
- Faculty Development attended

SCHOLARLY AND PROFESSIONAL ACTIVITIES:

**REQUIRED** (Including:)

- Professional Society Memberships and Offices Held
- Roles on Review Boards of Journals and Granting Agencies
- Visiting Professorships
- Roles in Conferences (e.g. organizer, workshop leader, chair)
- Consulting and Professional Activities
- Service to the Community as part of your Profession, e.g. public lectures and presentations, community outreach, innovative health care delivery

COMMITTEE MEMBERSHIPS:

**REQUIRED** (Including:)

- Academic – University, Faculty-level, Department, Division, National, International, etc.
- Hospital
- Research Institute
- External – Professional, Community, etc.

RESEARCH PROJECT SUPERVISION

**REQUIRED**

- Supervision of research of residents, clinical fellows, research fellows, undergraduate medical students, etc.

GRADUATE STUDENT SUPERVISION (MASTERS and PhD):

**REQUIRED** (Including:)

- Note any awards won or held by students whom you supervise. Please note precise role on any student advisory committees (supervisor, co-supervisor, advisor) as well as the students' program (MSc, MA, PhD, etc.)

**RESEARCH FOCUS:**

**REQUIRED** (Including:)

- Describe areas of research interest and current projects

**RESEARCH FUNDING:**

**REQUIRED** (Including:)

- For each grant or contract provide the information required in table format. If there are co-grants or group grants, list the total amount of the grant and, in brackets, the amount that is your component.
- Include external salary awards and start-up funds received. You may also list grants applied for but not awarded, marked clearly as such.
- Please be exact in outlining your role and contributions, especially where you are not the Principal Investigator.

**PUBLICATIONS:** (list under separate heading, in order of publication)

**REQUIRED** (Including:)

- Books authored
- Books edited
- Chapters in books and symposia
- Articles in peer-reviewed journals
- Peer-reviewed conference proceedings
- Articles in non-refereed journals and conference proceedings
- Technical Writings
- Abstracts and Paper Presentations
- Other (eg. book reviews, letters to editor)
- Accepted for publication (optional and indicated as such)
- Submitted manuscripts and work in progress (optional and indicated as such)

**Note:** Within each category, please supply details in chronological order and give full citation, including page numbers for books, chapters and journal articles and names of authors in the order in which they appear on the publication. Your name will be highlighted in bold font and placed according to authorship.

**PATENTS:**

**REQUIRED** (Including:)

- Name, Year, filed or granted

**INVITED LECTURES:**

**REQUIRED** (Including:)

- List scholarly presentations given by invitation

## TEACHING DOSSIER

An up-to-date Teaching Dossier (SSMD Teaching Dossier) must be generated from **Acuity STAR** and must contain the Teaching information as set out as below.

- Please note that the maximum length of the Teaching Dossier is limited to 35 pages, including a maximum of 20 pages of Appendices.
- A Teaching Summary template is provided as Appendix I.

### Teaching Responsibilities

1. List of all courses or segments of courses taught in the past 7 years (or since your initial appointment), plus a description of your role therein. (In the case of promotion to Professor only, the dossier should cover the period since the last promotion.) **REQUIRED**
2. Course outlines (maximum length 5 pages each) for all courses taught in the past 2 years. **REQUIRED**
3. List of all students supervised, including graduate and undergraduate theses, independent study and practicum supervision. **REQUIRED**
4. A summary of student rating evaluations. **REQUIRED**
5. List of academic advising duties for the past 5 years. **OPTIONAL**

### Teaching Philosophy

1. A succinct, clearly reasoned statement of your personal beliefs about teaching and how these have influenced your choice of teaching methods, i.e. an explanation of why you do what you do.  
**Maximum length 2 pages.** **RECOMMENDED**

### Teaching Innovations

1. Description of novel teaching methods or curriculum material that you have developed, including textbooks, lab manuals, assignments and computer software. Maximum length 1 page. **RECOMMENDED**
2. Contributions you have made to development of new courses or revision of existing courses. **RECOMMENDED**
3. Evidence of impact or effectiveness of above innovations, for example, data from program evaluation studies or letters of support from colleagues, students or curriculum experts. **OPTIONAL**

## **Evidence of Teaching Effectiveness**

### ***Classroom Teaching***

1. Graphical or tabular summary of formal student ratings for all questions related to teaching effectiveness for all courses taught at Western, or all courses taught in the last 7 years, whichever is less. (Maximum length 3 pages.)  
**REQUIRED**
2. Letters from students, former students or employers of former students. Letters should be designated as solicited or unsolicited, and if solicited the letter of solicitation should be included. This is inclusive of solicited letters  
**REQUIRED**
3. Inclusion of unsolicited letters  
**OPTIONAL**
4. Colleague evaluations based on direct observation of classroom teaching. (Maximum length 2 pages total.) Colleague observers should be selected by mutual consent of the candidate and the Chair or Dean.  
**RECOMMENDED**
5. Objective indicators of amount learned by students, for example, mean student performance on a committee-graded or objectively scored final examination in a multi-section course.  
**OPTIONAL**
6. Evidence of student success attributable, in part, to your teaching, for example, awards, acceptance for advanced study, etc.  
**OPTIONAL**

### ***Course Content and Course Management***

1. Colleague evaluations based on analysis of course documents and materials such as course outlines, assignments and sample graded essays or exams. (Maximum length 2 pages total.) Colleague evaluators should be selected by mutual consent of candidate and Chair or Dean.  
**OPTIONAL**
2. Formal student ratings of the course (as opposed to instructor ratings) content, quality or impact.  
**OPTIONAL**

### ***Student Supervision***

1. Letters from former undergraduate or graduate students for whom you served as thesis, research or practicum supervisor. (Maximum length 4 pages total.) Letters should be designated as solicited or unsolicited, and if solicited, the letter of solicitation should be included. This is inclusive of solicited letters  
**REQUIRED**

2. Inclusion of unsolicited letters **OPTIONAL**
3. Evidence of student success attributable, in part, to your supervision, for example, awards, appointments, publications, acceptance for advanced study, etc. **OPTIONAL**

***Prior Recognition***

1. Teaching awards or nominations. **OPTIONAL**
2. Invitations to teach or contribute curriculum materials to other institutions or departments. **OPTIONAL**

***Professional Development***

1. Brief description of steps taken to improve your teaching, including workshops and seminars attended, courses completed and peer consultation. **OPTIONAL**

***Educational Leadership***

1. Membership on curriculum/educational policy and planning committees. **OPTIONAL**
2. Membership on committees relating to evaluating or improving teaching. **OPTIONAL**
3. Delivery of formal faculty development programs, for example, running workshops, serving as peer consultant or faculty development specialist. **OPTIONAL**

***Research on Teaching***

1. Papers published or presented on teaching or curriculum issues, including articles proposing or evaluating new teaching methods or curriculum developments. **OPTIONAL**
2. Informal, unpublished research on teaching. **OPTIONAL**

**Appendix I: Teaching Summary**

<b>ACADEMIC YEAR</b> _____					
Course No./Name					
Total Hrs. Lectures/Seminars					
Total Hrs. Labs/Tutorials					
Student Enrolment					
Rating (average score on overall effectiveness) and Scale (normally 1 - 7)					
Comparison to other teachers in course					

<b>ACADEMIC YEAR</b> _____					
Course No./Name					
Total Hrs. Lectures/Seminars					
Total Hrs. Labs/Tutorials					
Student Enrolment					
Rating (average score on overall effectiveness) and Scale (normally 1 - 7)					
Comparison to other teachers in course					

<b>ACADEMIC YEAR</b> _____					
Course No./Name					
Total Hrs. Lectures/Seminars					
Total Hrs. Labs/Tutorials					
Student Enrolment					
Rating (average score on overall effectiveness) and Scale (normally 1 - 7)					
Comparison to other teachers in course					

<b>ACADEMIC YEAR</b> _____					
Course No./Name					
Total Hrs. Lectures/Seminars					
Total Hrs. Labs/Tutorials					
Student Enrolment					
Rating (average score on overall effectiveness) and Scale (normally 1 - 7)					
Comparison to other teachers in course					

**(Continue on other pages to total years required)**

## CANDIDATE'S STATEMENT

This narrative statement is your opportunity to highlight and explain the academic contributions throughout your career that you feel are significant for the committees considering your case, within the context of the criteria and your academic job description (primarily this would be your Academic Role Category (ARC), maybe a Statement of Expectations and Responsibilities, and potentially a Department specific earlier job description). The statement is your opportunity to indicate your activities and your role within the department/division.

For example, you may wish to:

- Highlight and give more detail on certain items from your CV or TD, explaining the impact of, for example, educational initiatives or administrative leadership, which has enhanced teaching and/or research within your department.
- Describe accomplishments that are not included in your CV or TD and evaluate their impact, e.g. an innovative laboratory technique, attracting elective fellows to spend time learning with you, articles currently being written for publication.
- Provide a perspective on initiatives underway presently or in the near future and results that you anticipate, e.g. future directions of research, enrolment in faculty development, future leadership roles, etc.
- If applicable, mention any significant special circumstances which have arisen during your career that have affected your performance, e.g. periods of absence or reduced responsibility, unsuccessful research initiatives, geographic relocation, clinical demands etc.

**THE STATEMENT SHOULD NOT EXCEED 4 PAGES.** IT SHOULD HIGHLIGHT THE CATEGORIES AS IN THE CRITERIA FOR PROMOTION AND/OR GRANTING OF CONTINUING APPOINTMENT, WHICH HAVE BEEN LISTED PREVIOUSLY, THAT IS:

Teaching and associated activities

Research and other scholarly activities

Role Model

Health Care Leadership

General Contributions in Service or Leadership within the University, the Profession and the Community

NOTE: If your academic deliverables, as noted on your Academic Role Category are not research related, you do not need to comment on research in your statement.

## **STUDENT REVIEWERS**

### **TO BE CONTACTED TO COMMENT ON TEACHING**

Please provide names and email or mailing addresses of students whom you have taught, particularly where no statistical evaluation of your teaching is available, e.g. graduate (PhD and MA) students, fellows, elective students, etc. Please state the nature of the contact. The Department Chair and Appointments and Promotions Committee may suggest additional names to contact but note that additions will require your prior approval to contact.

Names and signature provided on next page.

POTENTIAL STUDENT REVIEWERS:

1. NAME:  
Mailing ADDRESS:  
Email ADDRESS:  
NATURE OF CONTACT:  
TELEPHONE:
2. NAME:  
Mailing ADDRESS:  
Email ADDRESS:  
NATURE OF CONTACT:  
TELEPHONE:
3. NAME:  
Mailing ADDRESS:  
Email ADDRESS:  
NATURE OF CONTACT:  
TELEPHONE:
4. NAME:  
Mailing ADDRESS:  
Email ADDRESS:  
NATURE OF CONTACT:  
TELEPHONE:
5. NAME:  
Mailing ADDRESS:  
Email ADDRESS:  
NATURE OF CONTACT:  
TELEPHONE:

Signature

- I indicate by my signature below full and complete agreement with the above listing of potential student reviewers.

OR

- I am objecting to the inclusion of \_\_\_\_\_  
as potential student reviewer(s) on the grounds that \_\_\_\_\_.

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Date

## **PEERS REVIEWERS**

TO BE ASKED TO COMMENT ON TEACHING, SCHOLARLY ACTIVITY AND OTHER CONTRIBUTIONS TO THE UNIVERSITY:

Please provide names and email and mailing addresses of colleagues who can best comment on the above areas. These may be individuals within your own department, in other departments at this University or at other Universities. They must know you well and be able to comment from personal observation on your contributions in teaching, University service and leadership. Peers also have the opportunity to comment on the nature of your contributions to research. Remember, teaching includes development of course materials and examination questions and student advising as well as direct contact teaching. Include course managers or chairs of committees to which you have made active contributions. Do not select only Assistant Professors or those at your current rank. The Department Chair and Appointments and Promotions Committee may suggest additional names, and similar to student reviewers, additions will need your prior approval before contact.

Names and signature provided on next page.

POTENTIAL PEER REVIEWERS:

1. NAME:

ADDRESS:

NATURE OF CONTACT:

TELEPHONE:

2. NAME:

ADDRESS:

NATURE OF CONTACT:

TELEPHONE:

3. NAME:

ADDRESS:

NATURE OF CONTACT:

TELEPHONE:

4. NAME:

ADDRESS:

NATURE OF CONTACT:

TELEPHONE:

5. NAME:

ADDRESS:

NATURE OF CONTACT:

TELEPHONE:

Signatures

I indicate by my signature below full and complete agreement with the above listing of potential peer reviewers.

OR

I am objecting to the inclusion of \_\_\_\_\_

as potential peer reviewer(s) on the grounds that \_\_\_\_\_.

\_\_\_\_\_  
Candidate's Signature

\_\_\_\_\_  
Date

## EXTERNAL REFEREES

External referees are individuals outside The University of Western Ontario, **who hold the same academic rank at or above to which the candidate is applying, e.g., if the candidate is applying for the rank of Associate Professor, external referees must hold the rank of Associate Professor or Professor; if the candidate is applying for the rank of Professor, external referees must hold the rank of Professor at their institutions.** External referees possess a level of expertise which qualifies them to comment in an independent and unbiased manner on your selected research papers and your reputation in research and scholarly activities. From the names you provide, and additional ones suggested by the Department A&P Committee and approved by you, at least three will be selected. These will be sent your Curriculum Vitae and your publications submitted for critical review.

**NOTE: THE PEOPLE SELECTED SHOULD NOT KNOW YOU WELL** (i.e. not relatives, personal friends, co-authors, graduate teachers or thesis supervisors, former students, collaborators, co-workers, etc.) but may be familiar with your research and/or teaching. **Do not communicate in any way with a potential external referee.**

Please provide names, addresses, short bio (including academic rank) of the qualifications and areas of expertise of each potential external referee, and a statement on the nature of relationship (if any)

### ***Sample Summary of Biographical Sketch of External Referees***

Professor \_\_\_\_\_, is a world expert in the field of bioinorganic chemistry. He is editor of the highly regarded *Inorganic Biochemistry* and, at present, is the Chief, Laboratory of Cellular and Molecular Biology, at the National Institute of Aging, NIH. His earlier positions included professorships at the University of Louisiana and Georgetown University.

Names and signature provided on next page.

EXTERNAL REFEREES:

NAME:

ADDRESS:

TELEPHONE:

BIOGRAPHICAL SKETCH (include academic rank):

NATURE OF RELATIONSHIP (if any):

NAME:

ADDRESS:

TELEPHONE:

NATURE OF RELATIONSHIP (if any):

BIOGRAPHICAL SKETCH (include academic rank):

NAME:

ADDRESS:

TELEPHONE:

NATURE OF RELATIONSHIP (if any):

BIOGRAPHICAL SKETCH (include academic rank):

NAME:

ADDRESS:

TELEPHONE:

NATURE OF RELATIONSHIP (if any):

BIOGRAPHICAL SKETCH (include academic rank):

Signatures

I indicate by my signature below full and complete agreement with the above listing of potential external reviewers.

OR

I am objecting to the inclusion of \_\_\_\_\_ as potential external reviewer(s) on the grounds that

\_\_\_\_\_

Candidate's Signature & Date

Chair's Signature & Date

**Publications for Critical Review and Contribution to Each**

Please select your best papers for critical review. Maximum number is:

- For promotion to Associate Professor and/or granting of continuing appointment - 7
- For promotion to Professor and/or granting of continuing appointment – 10
- For each co-authored paper, state your contribution as a percentage and clearly describe your role.

1. TITLE:

CONTRIBUTION:

ROLE:

2. TITLE:

CONTRIBUTION:

ROLE

3. TITLE:

CONTRIBUTION:

ROLE

4. TITLE:

CONTRIBUTION:

ROLE

5. TITLE:

CONTRIBUTION:

ROLE

6. TITLE:

CONTRIBUTION:

ROLE

7. TITLE:

CONTRIBUTION:

ROLE:

## ADMINISTRATIVE PROCESS AT THE DEPARTMENT LEVEL

### Winter – Spring

The Department's designated administrator arranges an initial meeting of the Department A&P Committee (composition as specified in Section 3.1 of the Conditions of Appointment for Physicians (2018)) to review the eligibility of all members of the department for promotion and/or granting of continuing appointment.

Some departments give the potential candidates this guide before this meeting, requesting an up-to-date Promotion Curriculum Vitae (SSMD Promotion CV) and Teaching Dossier (SSMD Teaching Dossier) from Acuity STAR and names of potential student, peers and external referees. The use of Acuity STAR to generate both the CV and Teaching Dossier is required.

### CONFLICT OF INTEREST:

- A member of the Committee who is aware of any reason that his/her impartiality and objectivity about a candidate **might** be cast in doubt (e.g. a co-author or investigator, relative, past conflict with the candidate) must inform the Chair and withdraw from all discussion and deliberations on that case. A Committee member should act on the principle that if his/her presence could create a reasonable apprehension of bias, he/she shall withdraw.
- If the Department Chair has a possible conflict of interest, the Chair shall withdraw from the case. Another member shall chair the meeting for this case and sign letters to external referees, students and peers. The Department Chair shall not make a separate recommendation.
- An elected member whose promotion or reappointment is being considered MUST withdraw from the Committee for that year and an alternate be elected by the Department.
- Provide the Candidate's Guide to each candidate. Be sure to inform candidates of your deadline(s) for return of this information.
- As candidates return information, check to ensure that it is complete, accurate and up-to-date. Check the CV carefully, reviewing all publications and grants carefully to ensure they are correct. For example, an item listed in a current CV as "TITLE" 2018 (In press) is likely to have been published by now.
- Establish a file for each candidate in a three ring binder. Information should be set up in standard sections within the binder, following the order of the sample Index of Contents/ Signature Page. Dividers indicating each section are required.
- Student, peer and external referee letters:
  - The Department A&P Committee checks the list of potential students and peers. The Department A&P Committee may suggest additional names to the list which must be approved by the Candidate and signed off **before** the letters go out.

- When the Department is recommending a candidate in the Academic Role Category **Clinician Educator, Clinician Researcher or Clinician Scientist** be put forward, the written opinion of **at least three independent expert referees** in the candidate's areas of specialization will be sought to aid the Committee's evaluation of performance in Research and Scholarly activities. It is recommended to seek at least five to six external referees in order to ensure return of the minimum number of assessments and to provide a broader basis of opinion. In addition to contact information, candidates must complete the form indicating if any prior relationship exists with the referees named. External referees must hold the rank at or above to which the candidate is applying. (see 6.3.4)
- The Department A&P Committee checks the list of external referees provided by each candidate for: appropriate expertise and qualifications (hold an academic rank equivalent to or above that is being sought by the candidate) and arm's length from the candidate

**Definition of "arm's length":**

- be external to Western University
  - not a relative or close personal friend
  - not a former graduate school teacher
  - not a thesis advisor or examiner
  - not a present or former student
  - not a present or former co-worker
  - not a co-author of a publication
  - not a co-investigator on a grant
- The Committee may suggest additional names and these names must be approved by the candidate. The Department A&P Committee must select at least three external referees (names are kept confidential) to provide an unbiased assessment.
  - In some highly specialized fields, it is not possible to have external referees who are "arm's length". In that instance, the Committee and/or the candidate will need to address the issue in their letter.
  - It is recommended that the Department Administrator contact the external referees before sending the package to determine if they are willing to serve as an external referee.

The Department Chair sends out letters as follows:

- To external referees: Use the standard format provided, including accompanying documentation
- To peers: Use the standard format provided, including accompanying documentation
- To students: Use the standard format provided, including accompanying documentation

Note: For students and peers, a copy of each kind of letter and a list of all the individuals to whom it was sent are placed in the candidate's file. Please do not include a photocopy of each letter for students and peers; a sample is all that is

required. For external referees, a copy of the letter and supporting documentation sent and a list of all potential referees must be included.

- A copy of all of the candidate's Academic Role Category documents, and possibly Statement of Expectations and Responsibilities, and potentially an earlier department specific role description must be included. It is important that all prior documents are included so that the candidate can be assessed according to the expectations during the entire period of their appointment.
- If the candidate holds a cross appointment in another department or faculty, the Chair of that Department must provide a letter commenting on the candidate's contributions within that unit. The home Department's Chair or designated administrator will send a letter or an email to request this letter from the cross-appointed Department Chair.
- Collect all statistical evaluations of teaching available for this candidate. These may come from the candidate, from department files and, for courses taught outside the Schulich School of Medicine and Dentistry, from the Faculties of Science, Nursing, Applied Sciences, etc. The Chair should also provide a comparison of the candidate's performance in teaching with others in the Department.
- Insert reports received back from external referees, peers and students in the appropriate section of the candidate's file. **Ensure that at least 3 external referees have provided reports, where applicable.**
- When all expected letters have been received, the candidate reviews and signs off on the dossier. Should additional letters arrive after that date, the candidate would need to review the additional letters and re-sign the dossier. No letters should be added after the dossier has been reviewed by the Appointments and Promotions Committee.

#### **Late August/Early September**

- Edit the sample Index of Contents/Signature Page as necessary.
- Arrange for the candidate to review a **sanitized** copy of the original dossier after it is complete but before the Department A&P Committee reviews the dossier. The candidate signs the Signature Page acknowledging that the file is complete. The Department Chair also signs the Signature Page.

#### **NOTES:**

- In the sanitized copy, the letters and reports must be edited to delete names, addresses, letterhead, references within the text which might identify the individual.
- If, at any time in the process, the candidate requests a copy of all or part of the sanitized dossier, they may be allowed to photocopy material, ensuring that the dossier does not leave the custody of the appropriate office and bearing any charges for the copying.
- Arrange for the Department A&P Committee to review the dossier and make its recommendation.
- The Department A&P Committee and the Department Chair each make a separate recommendation.

- It is the responsibility of the Department Chair and/or Appointments and Promotions Committee to provide the **detailed** case supporting the recommendation in the form of a report or letter in the dossier. Providing that the recommendations of the Committee and Chair are the same, one letter from the Chair which clearly identifies both recommendations and makes the case is sufficient. If the recommendations of the Chair and the Committee differ, then two independent reports must be provided. The Committee should provide the specific criteria and weighting of each individual case. A sample letter of recommendation is available online.
- If the Department Chair is not the Chair of the Appointments and Promotions Committee, a separate recommendation letter must be included from the Department Chair. This does not apply if the Department Chair has declared a conflict and stepped down from chairing the Committee for a particular file.
- Complete a Dean's Summary Submission Sheet and place it at the front of the dossier before the Index of Contents.

**By October 1st**

- Inform the candidate of the Department A&P Committee's and Department Chair's recommendations in writing. In the case of a negative decision, the candidate must be informed of the right to appeal/consultation as outlined in the conditions.
- Courier (or deliver) the completed dossier binder and upload an electronic copy on KIWI to the Dean (Schulich HR/Faculty, Clinical Skills Building, Room 3700, London, Ontario, Canada, N6A 5C1)

## APPENDIX 1: SUMMARY OF DOCUMENTATION REQUIRED

Item of Documentation	Status in Dossier
1. Index of Contents	Required
2. Signature Page	Required
3. Dean's Summary Submission (DSS)	Required
4. Recommendation and Report of Dean and Schulich A&P Committee	Required (Inserted by Dean's Office)
5. Recommendation and Report of Department Chair and Department A&P Committee	Required
6. Cross Appointments: Letters from Chairs of Secondary Departments	Required (if applicable)
7. Academic Job Descriptions (ALL Academic Role Category, Statement of Expectations and Responsibilities or earlier Department specific role descriptions - since previous promotion)	Required
8. Career Development Plan Summary Page(s) of all annual reviews	Required
9. Candidate's Statement	Recommended
10. Curriculum Vitae <ul style="list-style-type: none"> <li>• Initial – dated</li> <li>• Updated CV (if applicable) - dated</li> </ul>	Required Required
11. Teaching Dossier <ul style="list-style-type: none"> <li>• Evaluation of Teaching: Undergraduate (statistical)</li> <li>• Evaluation of Teaching: Graduate and Postgraduate (statistical)</li> </ul>	Required Required (if available) Required (if available)
12. Evaluation by Student Reviewers	Required
13. Evaluation by Peer Reviewers	Required
14. Evaluation by External Referees (minimum 3)	Required for candidate in the Academic Role Category <b>Clinician Educator, Clinician Researcher or Clinician Scientist</b>
15. Publications for Critical Review	Required (if applicable re: point 14 above.)

## **APPENDIX 2: INSTRUCTIONS REGARDING THE CANDIDATE'S GUIDE**

Before providing a copy of the Candidate's Guide to a candidate, please add a cover letter/email providing the type of promotion/status change being considered, any departmental details that may not be covered in this package and your deadline(s) for return of the information.

### **Tips on Dossier Preparation**

When preparing the dossier for submission, please ensure the documents are placed in the following order in a binder large enough to accommodate the complete package:

1. Index of Contents - ensure all sections of the dossier are indexed in the proper order and identified with individual tabs
2. Dean' Summary Submission Form - must be fully completed by the department administrator
3. Signature Page - must be signed by candidate and Department Chair (using sanitized version of the dossier) after it is complete but before the Department A&P Committee review
4. Recommendations of Dean and Schulich A&P Committee - Include an index tab for this and it will be inserted after the Schulich A&P Committee has met.
5. Recommendations of Department Chair and Department A&P Committee. Ensure all areas of concern are discussed, as per the template. The letter should include the statement that no areas of concern were noted.
6. Academic Job Descriptions – INCLUDE ALL Statements of Academic Expectations and Responsibilities, Academic Role Category documents, and/or earlier Department specific role descriptions and Appendix 1's of the individual's primary appointment covering the period under review.
7. Letter from Department Chair of Secondary/Cross Appointment (if applicable)
8. Career Development Plan Summary Page(s) of all annual reviews
9. CV, and updated CV if applicable. Please date each version and indicate which was sent to external referees/peers (if applicable)
10. Candidate's Statement
11. Teaching Dossier
12. Student Reviewer Letters – include the list of potential reviewers, one sample letter sent and all responses. Please ensure there are no anonymous letters in the file.

13. Peer Responses – include the list of potential reviewers, one sample letter sent and all responses. Please ensure there are no anonymous letters in the file.
14. External Referee Responses (if applicable) - list of all potential external referees including academic rank and a brief biographical sketch outlining qualifications, a copy of the letter and guidelines used for solicitation and all responses.
15. Publications for Critical Review.