



Governing Joint and Stipendiary Faculty Promotions

Approval Authority: Board of Directors Established On: 2011-06-22 Amendments: Last amended February 2016 Category: Academic

1.0 POLICY STATEMENT

This document establishes the policy of the Northern Ontario School of Medicine University ("NOSM U"), hereinafter referred to as the "University," regarding the promotion of faculty who are not members of the OPSEU Unit 1 bargaining unit. Such faculty members are found in all three Academic Divisions: Human, Medical and Clinical Sciences. This policy has been implemented to ensure fairness in the promotion process.

The policy with respect to academic promotions is set out in the following paragraphs as approved by the Board of Directors.

2.0 SCOPE

Accordingly, this policy applies to NOSM U faculty members who were not employees of either Lakehead University or Laurentian University at the time of their appointment to NOSM U and, therefore, were not members of the Lakehead University Faculty Association or the Laurentian University Faculty Association.

This policy does not apply to Lakehead University faculty members or Laurentian University faculty members appointed to NOSM U under the secondment agreement or alternative work assignment agreement. This policy also does not apply to a NOSM U faculty member who primarily and still holds a faculty appointment at Lakehead or Laurentian University. These faculty members cannot be promoted at NOSM U until promoted at the host University. Subsequent to proof of successful promotion at the University, NOSM U shall then recognize the promotion at the University.

3.0 DEFINITIONS

For the purposes of this policy:

The term promotion refers to advancement from the rank of Lecturer to Assistant Professor, from Assistant Professor to Associate Professor, and from Associate Professor to Professor.

The term Promotions Committee referred to in this process relates to the Joint and Stipendiary Faculty Promotions Committee.

The term scholarly activity and scholarship refers to:

- Research directed towards a contribution to knowledge, and the dissemination of its results, and/or
- Participation in those academic activities that contribute to the enhancement, creation, and dissemination of knowledge and/or
- Creative and professional activities which contribute to one's discipline and/or
- Research directed towards improving the social accountability of health professional education and/or research to communities.

Regarding scholarly activity, the faculty member must demonstrate that the activity is of good quality and is consistent with the contribution to knowledge described in the paragraph above. It is understood that this list does not imply an order of priority. It is also understood that the following forms of scholarly activity are not necessarily to be given equal weight and application for each discipline when a faculty member is being evaluated for promotion. In such evaluations, where the evidence does not rest on externally reviewed publications, other evidence of scholarly activity must be considered, but the burden of proof rests upon the applicant.

Forms of scholarly activity may involve, but are not limited to, the following:

- peer-reviewed publications and/or
- the writing or editing and publication of books, textbooks, journals and articles, and/or
- the acquisition of additional appropriate academic and/or professional qualifications and/or
- research carried out on research grants and contracts and/or
- the writing of case studies and/or
- the development of teaching materials of an innovative sort which have a wider application than the faculty member's teaching activities and/or
- the compilation and publication of scholarly bibliographies and literary work and/or

- the translation and publication of scholarly or literary work and/or
- literary and artistic works appropriate to one's discipline and/or
- demonstrated leadership in professional education, including workshops and/or
- creative application of existing knowledge through such activities as consulting or workshops and/or
- written and oral reports prepared for community and government institutions.

The term Service to the University and Academic Community may include but are not limited to the following:

- Service in professional organizations, NUFSA, learned societies, disciplinary associations, and/or voluntary practice of the faculty member's profession, which support and/or promote the advancement of research, scholarship, teaching, artistic creation, or professional development, and/or improve the working conditions of academic faculty.
- Holding office on executive boards and committees and general administrative duties (e.g., Section Chair, Assistant Dean, Associate Dean, Program Director, Division Head, Module Coordinator, Theme Course Chair).
- Demonstrated record of academic service. Service includes internal activities related to the functioning of the University and activities external to the University. Factors that may be considered include but are not limited to mentoring faculty or colleagues, participating in University and Divisional committees, and community service where the individual has contributed by special academic competence.

The term Teaching and Assessment of Teaching includes lecturing, activity in seminars and tutorials, individual and group discussion, laboratory, bedside and clinical teaching, and any other means by which learners derive educational benefit.

Teaching effectiveness is demonstrated by the degree to which the faculty member can stimulate and challenge learners, communicate/demonstrate material effectively, and master his or her subject areas. It also involves influencing learners' intellectual, scholarly, and clinical development.

Written assessments of the applicant's teaching effectiveness will be prepared in accordance

with the NOSM U Policy and Procedure for Evaluation of Faculty and presented to the Promotions Committee as part of the applicant's promotion application.

The term Clinical Competence is the high degree of competence expected of all Clinical Faculty. Maintenance of clinical competence as professionally mandated will be expected. The documented development of special interests and expertise is important, and the development of new techniques and approaches will receive high weighting for promotion in clinical disciplines, particularly as they have an impact on the practice of other clinicians.

The terms Research and Scholarly Activity:

Research Activity in the broadest sense, as a primary investigator, or in collaborative studies, will contribute to, but not be necessary for promotion except to the rank of Professor. Research may include quality assurance activities. Basic or bench research activity is not a requirement for Clinical Faculty members. The quantity and quality of research are expected to increase as faculty progress through the ranks. Research and Scholarly Activity are integral to NOSM U's mandate of community-engaged education and research and should receive special consideration from the Committee.

Scholarly Activity consists of, but is not limited to:

- Such activities include memberships on provincial or national advisory committees, guideline development committees, and presentation and attendance of scientific meetings. It may also include active participation in journal clubs and professional development activities.
- The writing or editing and publication of books, textbooks, journals, case studies and articles.
- The development of teaching/library materials.
- Literary and artistic works appropriate to one's discipline.
- Written and oral reports prepared for community and government institutions.
- Community-engaged scholarship.

Consideration should be given to Boyer's definition of scholarship for purposes of assessment of Clinical Faculty and, if relevant, for Human and Medical Sciences Faculty (see Appendix B).

The term Administrative Activity, Services to the School and Academic Community expected that each faculty member will contribute to the administrative activities of their Section, the University and their professional organizations. Greater participation in this sphere is typical as a faculty member progresses in rank. Administration may include organization of courses or parts thereof, service on hospital, School and professional organization committees, responsibility for special programs and formal administrative posts.

4.0 POLICY TERMS AND PROCEDURES

4.1 Human and Medical Sciences Faculty

4.1.1 Faculty members shall normally apply for their promotion. Immediate supervisors may also submit applications on behalf of faculty members who have not themselves applied but have declared their willingness to be considered. When the immediate supervisor applies on behalf of the faculty member, the immediate supervisor will consult in advance with the faculty member regarding information to be included in the application and the names of external referees.

Applications shall be made to the applicant's Division Head, together with a copy of all necessary and relevant documentation. To apply for promotion, a faculty member must be currently engaged with the University.

The complete and final application with all supporting documents for promotion shall reach the Division Head through the Office of Faculty Affairs no later than **September 30** for a decision in that academic year. The promotion, if granted, will take effect on **July 1**, the first day of the new academic year.

Faculty members must consult with the Division Head before the application deadline. If the faculty member requests, by **July 1**, the Division Head will review the application and prepare a preliminary written assessment based on the relevant criteria for promotion within

fifteen working days of receiving the faculty member's application. A copy of this assessment will be forwarded to the faculty member, who will decide whether to proceed with the application. If the preliminary assessment does not meet the promotion criteria, the Division Head will meet with the faculty member to explain the assessment and to suggest what action should be taken to give a future application a reasonable chance of success.

The following information must be attached to the application for promotion to all ranks and must be submitted at the time of application:

- Updated Curriculum Vitae (template available on the NOSM U website), clearly outlining the academic teaching and other contributions (including details of all administrative services and committee memberships and the time commitment and outline of those responsibilities and contributions) with a particular focus on the last five years or since last appointment.
- Detailed Contributions Dossier (template available on the NOSM U website) clearly outlines the academic teaching and other contributions made to NOSM U over the assessed years, focusing on the last five years.
- Copy of the research and creative works the applicant wishes to have considered in the application examination; it is understood that the applicant may attach a clear and detailed description of these works when the works are such that the physical submission is impractical.

For applications for promotion to Professor, the names and contact information of four external referees, at least two of whom are from outside Lakehead and Laurentian Universities, qualified to assess the research and creative works of the applicant are required, of which the Division Head will choose two. The Division Head shall choose an additional two external referees after consultation with the applicant's Division members. An external referee must have expertise to enable a critical evaluation of the applicant and be at arm's length with respect to the applicant. The external referee cannot be a NOSM U faculty member: a Joint and Stipendiary Faculty Promotions Committee (JSFPC) member, the applicant's Master's, Ph.D., postdoctoral supervisor, or a research collaborator. The Division Head will forward a copy of the applicable policy, the applicant's application, and all required documentation, including but not limited to research and creative works, to the external referees and request a written opinion.

For all promotion applications, the Division Head will ask three members of the applicant's division to provide a written assessment of the applicant, based on the submitted documentation, in terms of the relevant criteria for promotion. These assessments shall be sent to the Division Head for transmission to the Promotions Committee. The Division Head shall prepare unattributed summaries of the assessments, and the summaries shall be made available to the applicant without identification of the author at least five working days before the Promotions Committee considers the application. A copy will be sent to the Chair of the Promotions Committee.

The Division Head will prepare an assessment/recommendation for each applicant for promotion and forward this to the Promotions Committee Chair no later than December 31. For promotions to the rank of Professor, the Division Head may append additional comments to the assessment within five working days of receiving the external assessors' reports. These assessments shall be made available to applicants and the Chair of the Promotions Committee and at least five working days before the Promotions Committee considers a given application.

For promotions to Professor, summaries of the assessments by the four external referees shall be prepared by the Division Head for transmission to the applicant without identification of the author and with identification of the author to the Chair of the Promotions Committee.

4.2 Clinical Sciences Faculty

4.2.1 The Joint and Stipendiary Faculty Promotions Committee shall review and make recommendations on all Clinical Faculty applications for promotion.

Faculty members shall normally apply for their promotion. The Division Head may also submit applications after consultation with the Section Chair on behalf of faculty members who have not themselves applied but have declared their willingness to be considered. When the Division Head applies on behalf of the faculty member, the Division Head will consult in advance with the faculty member regarding information to be included in the application and the names of external referees if applying for promotion to Professor.

A request for a consultative meeting with the appropriate Section Chair/Division Head, where a draft of the applicant's promotion application materials will be reviewed, must be requested by the applicant through the Office of Faculty Affairs no later than June 1. The applicant will then decide whether to proceed with the application.

The completed and final application for promotion and all supporting documents must reach the appropriate Section Chair/Division Head through the Office of Faculty Affairs no later than September 30 for a decision in that academic year. The promotion, if granted, will take effect on July 1, the first day of the new academic year.

The Office of Faculty Affairs will confirm the applicant's CPSO/licensing status and performance status at NOSM U and advise the Section Chair / Division Head, as required.

To be eligible for promotion at any level, a Faculty member must have at least fifty percent of their contributions to NOSM U and shall normally have had at least five years of experience at their previous rank or equivalent; exceptional achievement could reduce this experience requirement to four years if there is strong written support from the Section Chair and Division Head.

In exceptional cases, for promotion to Assistant or Associate Professor, an especially strong performance as a teacher may compensate for a somewhat lesser performance in administration or research and vice versa, provided in either case that the quality and quantity of administration and service to the academic community is satisfactory. The following information must be attached to the application for promotion for all ranks and must be submitted with the complete and final application due no later than September 30:

- Updated Curriculum Vitae (template available on the NOSM U website), clearly outlining the clinical and non-clinical teaching and other academic contributions (including details of all academic and administrative services and committee memberships and the time commitment and outline of those responsibilities and contributions), over the assessed years with a particular focus on the last five years or since last appointment.
- Detailed Contributions Dossier (template available on the NOSM U website), clearly outlining the clinical and non-clinical teaching and other academic contributions over the assessed years, focusing on the last five years.
- If applicable, a copy of the research and creative works (portfolio) the applicant wishes to have considered in the examination of the application, it is understood that the applicant may attach a clear and detailed description of these works when the works are such that their physical submission is not practical.

• Copies of learner evaluations, particularly from the last five years. For promotion to Assistant or Associate Professor, the names of no fewer than three NOSM U faculty member referees, whom the NOSM U Section Chair will request to provide written references for the applicant's promotion application. The referees will be forwarded a copy of the NOSM U Promotion Policy and a complete copy of the applicant's promotion package to assist in preparing their response. The Associate Dean of Faculty Affairs, a Section Chair, the Division Head of Clinical Sciences and members of the Promotions Committee cannot be referees. The Section Chair may either select or request that the applicant provide an additional two referees who are NOSM U faculty members and at arm's length with respect to the applicant. If the additional referees are selected by the Section Chair, prior to requesting the additional reference letters, the applicant will be notified of the names of the additional referees.

For promotion to Professor, the names and addresses of four external referees (at least two of whom are from outside the host universities) qualified to assess the research and creative works of the applicant, of which the Section Chair or Division Head will choose two. After consultation with the Section Chair, an additional two external referees shall be chosen by the Division Head. An external referee must have expertise to enable a critical evaluation of the applicant and be at arms' length with respect to the applicant. The external referee cannot be a NOSM U faculty member: a member of the Promotions Committee, a Program Director, the applicant's Master, Ph.D., or postdoctoral supervisor, or a research collaborator. Faculty members from host universities, Lakehead or Laurentian, and employment supervisors who meet the above criteria are allowed.

The Division Head will forward the Promotions Policy, a copy of the applicant's promotion application, including, but not limited to, research and creative works, to the external referees and request a written opinion. The Division Head shall prepare summaries of the assessments by the four external assessors without identification of the authors for transmission to the applicant and with identification of the authors to the Promotion Committee. The Division Head's assessment summaries will be made available to the applicants and the Chair of the Promotions

Committee at least five working days before the Promotions Committee considers a given application.

For promotion to all ranks, the Division Head, in consultation with the Section Chair, will prepare an assessment/recommendation for each applicant for promotion and forward this to the Promotions Committee.

The Promotions Committee shall study each application and all relevant documentation and decide whether the promotion criteria have been met. Recommendations and decisions about the quality and quantity of activities shall be based on documentation in the applicant's application for promotion file and the recommendation of the Section Chair/Division Head. The Promotions Committee can request further documentation or information relative to the application.

5.0 ROLES AND RESPONSIBILITIES

5.1 The Joint and Stipendiary Faculty Promotions Committee

The Committee shall consist of nine members. The Chair shall be elected by the Committee at its first meeting, no later than October 31 of the Academic Year. Members serving on the committee must be familiar with and have received training in employment equity. The membership is as follows:

- Two members shall be appointed by the Dean or his designate and should generally hold, or have held, senior academic administrative appointments at NOSM U. One of these appointees shall be a physician.
- Three members, one from each of the Divisions of Human Sciences, Medical Sciences and Clinical Sciences, who shall be non-physician faculty (with a rank of Assistant Professor or higher), chosen by the NOSM U Faculty and Staff Association. The Associate Dean, Faculty Affairs shall be advised of the members no later than August 30.
- Four members shall be physician faculty within the Division of Clinical Sciences (with a rank of Assistant Professor or higher). They shall be chosen by the Physicians Clinical Teachers Association (PCTA). The Associate

Dean, Faculty Affairs shall be advised of the members no later than August 30.

• Division Heads from Clinical, Human and Medical Sciences may not be on the Committee.

Quorum shall consist of no fewer than five members and must include at least one member from each of the above groups.

The membership of the Committee will be published on the Faculty Affairs website and made known to the applicants.

The deliberations of the Committee and the appraisals presented to it will remain confidential. All promotions committees shall keep a clear written record of each recommendation.

5.1.1 Recommendations to the Dean

When the Promotions Committee has completed its inquiries and deliberations, the Committee Chair will forward to the Dean the Committee's recommendation, including all relevant documentation, including written comments and evaluations from the applicant's peers, the Section Chair and/or the Division Head and in the case of applications to Professor, external referees.

Within 20 working days of receiving the recommendation of the Promotions Committee, the Dean shall confirm or refer to the recommendation. If it is referred, the Dean shall state the reasons for the action in writing to the Promotions Committee. The Promotions Committee must re-examine and address the Dean's concerns within fifteen working days if required. In making a final decision on whether to be promoted, the Dean shall also consider any representations made by the faculty member and the response of the Promotions Committee to the specific concerns expressed. The Dean's decision on whether to promote will be communicated in writing to the faculty member, and a copy will be sent to the Chair of the Promotions Committee.

5.1.2 Conflict of Interest

At least ten working days before the Promotions Committee or Appeal Committee considers individual cases, the Chair of the respective Committee will notify the applicant/appellant, as appropriate, of the Promotions or Appeal Committee members and request that the applicant/appellant declare in writing whether there is a perceived conflict of interest with any member of the respective Committee. It shall include sufficient detail to allow either Committee to assess the claim's merits. The Chair of the respective Committee is responsible for ensuring that each applicant/appellant completes this declaration before his/her case is heard. An applicant/appellant will not be permitted to declare a conflict of interest once the Promotions or Appeal Committee has started to discuss the particular case.

A Promotions or Appeal Committee member may also declare a conflict of interest with the applicant/ appellant and withdraw from the respective Committee in that particular case.

If a member of the Promotions or Appeal Committee perceives a conflict of interest that has not been declared by either the applicant/appellant or a member of the Committee, the Chair may raise the matter with the member, the Committee and/or the applicant/appellant.

The Promotions or Appeal Committee will vote on the issue. If at least three members of the Promotions Committee or two members of the Appeal Committee confirm that a conflict of interest does exist, an alternate will be selected by the Chair of the Promotions or Appeal Committee. In arriving at a decision on conflicts of interest, the Promotion or Appeal Committee will be guided by the following principles:

 A conflict of interest occurs when a person has a duty to fairly decide or vote on an issue, and there is a reasonable presumption that the person stands to benefit or be harmed from a certain resolution of the issue. •

In the context of collegial decision-making, prior service in the same department or school, joint service on School, University, Hospital or PCTA or NOSM U Faculty and Staff Association committees or other normal acquaintance by itself does not constitute grounds for the presumption of a conflict of interest.

5.1.3 Appeal Procedures and Grounds for Appeal

Appeals against the denial of promotion may be launched on one or more of the following grounds:

- That the established process was not properly followed on grounds of a procedural irregularity,
- That promotion criteria were incorrectly applied, or
- That natural justice was denied.

Appeals must be filed in writing to the Office of the Dean within ten working days of receipt of the notice of denial of promotion from the Dean.

The Office of the Dean or designate shall establish an Appeal Committee within twenty working days of the receipt of the written intention to appeal by the applicant.

Appeals against the denial of promotion will follow the Joint and Stipendiary Faculty Appeal Procedure.

5.2 Criteria and Assessment

5.2.1 Joint and Stipendiary Faculty

When making an assessment of an application, the Joint and Stipendiary Faculty Promotions Committee shall take into account:

- The nature and scope of past teaching activities, particularly in the past five years or since the last appointment.
- The nature and scope of research and scholarly activity, particularly in the past five years or since the last appointment.

- Administrative responsibilities, particularly in the past five years or since the last appointment.
- Contribution to the community-engaged, distributed learning model of medical education and research employed at the University.

The Promotions Committee shall assess and evaluate according to academic standards appropriate to the applicant's discipline. (e.g., research, publication, teaching, scholarly activities, administrative/service contributions).

To be considered for promotion at any level, a faculty member shall normally have had at least five years of experience at their previous rank or equivalent; exceptional achievement could reduce this experience requirement to four years if there is strong written support from the Division Head.

5.2.2 Clinical Sciences Faculty

The following criteria are to be viewed as guidelines to assist in assessing the various contributions of Clinical Faculty members:

- The nature and scope of past teaching activities, particularly in the past five years or since the last appointment,
- Clinical competence,
- The nature and scope of research and scholarly activity, particularly in the past five years or since the last appointment,
- Administrative responsibilities, particularly in the past five years or since the last appointment,
- Contribution to the community-engaged, distributed learning model of medical education and research employed at the University.
 Demonstrated satisfactory activity in the majority of the criteria or excellence in one or more areas may provide justification for
 promotion. It is the applicant's responsibility to be aware of the

promotion. It is the applicant's responsibility to be aware of the aforementioned criteria.

To meet the criteria for promotion, the applicant shall provide evidence of a cumulative record of academic, clinical, administrative and scholarly performance appropriate to the rank being sought and shall meet all criteria for initial appointment to the rank.

6.0 INTERPRETATION

Questions of interpretation or application of this policy or its procedures will be referred to <u>facultyaffairs@nosm.ca</u>

7.0 RELATED DOCUMENTS

As previously listed:

- Boyer's Definition Appendix B
- Joint and Stipendiary Faculty Appeal Procedure
- Joint and Stipendiary Faculty Promotions Committee Terms of Reference
- Promotions How To Guide
- Promotions Application
- NOSM U By-law

AUTHORITIES AND OFFICERS

The following is a list of authorities and officers for this policy:

- a. Approving Authority: Senate
- b. Responsible Officer: Associate Dean, Faculty Affairs
- c. Procedural Authority: Associate Dean, Faculty Affairs
- d. Procedural Officer: Director, Faculty Affairs

Review and Revision History

Review Period: As required Date for Next Review: Feb 2021

Development History – this section will be deleted when the policy is finalized and ready for review/approval

Date	Action
2011-06-22	Approved by the Board Executive Committee on behalf of the Board of Directors
2012-11-30	Amendment: Visiting Professors; Approved by Board of Directors
2014-05-09	Recommendation to split NOSM Faculty Appointment, Reappointment, Promotion and Appeals Policy into more manageable documents. Approved with edits by Academic Council on 2014-04-10.
2016-02-26	Amendment to eligibility criteria; Definition of Arm's Length

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Prior to June 1	The applicant requests a consultative meeting with the appropriate Division
	Head/Section Chair in writing to the Office of Faculty Affairs to review their promotion
	application and supporting documents. For Clinical Sciences Faculty members, an
	invitation to apply for promotion will be sent out in the Spring.
Prior to July 1	For Medical and Human Sciences Faculty:
	If the applicants request in writing prior to July 1, the Division Head will
	review the application and prepare a preliminary written assessment
	based on the relevant criteria.
By Sept 30	Applicants submit their final promotion application and supporting
	documents to the Office of Faculty Affairs. Applications that are missing
	documents will be considered incomplete and will not be considered for
	promotion.
By Dec 31	For Medical and Human Sciences Faculty: The Division Head will prepare an
	assessment/recommendation for each applicant for promotion and forward this
	to the Chair of the Promotions Committee.
IN THE YEAR FOLLOWING	3
Ву Мау 30	The Chair of the Promotions Committee provides the Dean with written notice of
	the Committee's recommendations.
By June 30	Recommendations are conveyed to the applicant.
July 1	If approved by the Dean the applicant's promotion becomes effective.

Appendix A: Promotion Calendar and Timeline for Applicants

Appendix B: Scholarly Activity

(For the purposes of the Policy and Procedures Governing Joint and Stipendiary Faculty Promotions)

Boyer's Dimensions of Scholarship is a useful guide for the promotion committee and those involved in the appointment process to assess the scholarship of faculty members applying for promotion.

The scholarship of teaching includes transmitting, transforming and extending knowledge.

The scholarship of discovery refers to the pursuit of inquiry and investigation in search of new knowledge.

The scholarship of integration consists of making connections across disciplines and, through synthesis, advancing what we know.

The scholarship of application asks how knowledge can be practically applied in a dynamic process whereby new understanding emerges from the act of applying knowledge through an ongoing cycle of theory to practice theory.

The scholarship of engagement connects any of the above dimensions of scholarship to the understanding and solving of processing social, civic and ethical problems.

Scholarly activity will have been demonstrated when:

The faculty member sets clear goals, uses appropriate methods, demonstrates significant results, and effectively presents the work. The work can be replicated, documented or peer-reviewed, and the work has a significant impact.

Community Scholarship is integral to NOSM U's mandate of community-engaged education and research.

Scholarship in these circumstances requires students, faculty members and community partners to listen to one another, arrive at solutions to manual problems creatively in a community setting, and work together to implement solutions.

At least three types of products arising from community-engaged scholarships may be useful in evaluating a faculty member's scholarship.

- I. Peer-reviewed articles.
- II. Applied products. These products strengthen ties between academics and practice. They enable faculty to apply disciplinary knowledge to practice. They can be evaluated by the extent to which they require a high level of discipline-related expertise, are innovative, have been implemented, impact learners, organizational or community capacity, or the health of individuals or communities.
- III. Community Dissemination Products, such as community forums and presentations to community leaders or policymakers.

References:

Glassick, Charles E PhD (2000). <u>Boyer's Expanded Definitions of Scholarship, the Standards for</u> <u>Assessing Scholarship, and the Elusiveness of the Scholarship of Teaching</u>, *Academic Medicine*, *75(9)* 877-880.