

Dean's Executive Committee (DEC) Approval Date: **March 15, 2021**

Clinical Chairs Approval Date: **April 14, 2021**

Most Recent Editorial Date: **March 5, 2021**

Appointment and Promotion Criteria Procedure
Clinical Academic Colleagues

| | |
|---|---|
| Office of Accountability: | Dean Faculty of Medicine & Dentistry |
| Office of Administrative Responsibility: | Office of the Vice Dean Faculty Affairs |
| Approver: | Dean's Executive Committee |
| Scope: | This Procedure applies to all Departments in the FoMD and the Clinical Academic Colleagues appointed to those Departments |

I. INTRODUCTION

The Faculty of Medicine & Dentistry, University of Alberta, values its relationship with our Clinical Faculty and recognizes the indispensable contribution they make to the academic mission, especially through the teaching of undergraduate and postgraduate students, and also through clinical research, administration, clinical innovation and service to the profession. Clinical Faculty members are major providers of care at the teaching hospitals and ambulatory teaching clinics affiliated with the University. The appointment to a clinical rank confers the privilege and responsibility of contributing to the academic mission of the University of Alberta. Clinical Faculty members are encouraged to indicate their academic rank in correspondence and on their professional letterheads.

The purpose of this document is to inform Clinical Faculty at the University of Alberta about the procedures of appointment as a member of a department's clinical faculty, criteria for promotion through the various ranks, provision for withdrawal of appointment, and recommendation for Emeritus status. The document is intended to ensure uniformity and fairness as it relates to the honor of holding an academic clinical appointment and being promoted at the University of Alberta.

The Faculty of Medicine and Dentistry looks to the University's *Clinical Academic Colleagues Procedure*, for direction on the appointment process found here:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Clinical-Academic-Colleagues-Procedure.pdf>

Guided by the University of Alberta's Procedure, each Department Chair establishes a departmental process bringing forward individuals recommended for appointment or promotion. This process may be conducted by a Department committee, an Associate Chair faculty affairs in the Department, or delegated to other Department leaders to fulfill this role. Selection criteria include a stated willingness to teach and train learners in the Faculty, a willingness to contribute to other academic roles and responsibilities in the Department or Faculty, and a commitment to contribute to clinical quality improvement.

The initial academic rank of new Clinical Faculty will typically be at the Clinical Lecturer rank. However, Department Chairs may consider a higher ranking on a case-by-case basis. It is an expectation that all Clinical Faculty will meet criteria for promotion to the Clinical Assistant Professor within 1 to 3 years and some may choose to remain at this level for the remainder of their career. Many may aspire to develop their careers in such a way as to attain Clinical Associate Professor, and others full Clinical Professor.

Definitions and Considerations

For purposes of this document, Clinical Faculty are defined as healthcare professionals who work and practice externally to the University of Alberta and who participate in the teaching and/or research and/or administrative activities of a Department in the University without the expectation of compensation. A Clinical Faculty member may be a physician, dentist, PhD, nurse, pharmacist, genetic counsellor etc.

Under this description, a Clinical Faculty member's primary contribution to the University of Alberta is usually in the form of teaching but could in some cases, be primarily in research or administration. Teaching, research and administration are recognized as the primary activities in the assessment and ranking process (see "II. DESCRIPTION OF ACADEMIC RANKS" in the following pages). The Chairs of departments involved in the evaluation process therefore have the option, in special cases where the contribution is primarily in the area of research or administration, to consider this as the primary criteria for appointment, such as in cases where the Clinical Faculty member has had little opportunity to be engaged with learners or has an administrative role. Research collaboration by itself would not warrant an appointment and a review of the Adjunct Academic Colleague Procedure is recommended.

A professional who voluntarily chooses to transfer from an academic staff appointment within the University of Alberta to become a Clinical Faculty member will usually be appointed at the equivalent level of his/her previous University rank. Similarly, a professional coming into the region from another region / university joining as a Clinical Faculty member will be considered for initial appointment at the equivalent level at their previous University rank. This recommendation to the Dean is at the discretion of their Department Chair.

In the circumstance where a Clinical Faculty member moves to a tenure-track position or a special continuing position, the rank will be considered on a case-by-case basis upon review by the Department Chair (usually Assistant or Associate Professor without tenure) recognizing that a tenured appointment would only be made if an individual had previously attained tenure via a tenure hearing.

Under some circumstances, individuals may have a primary appointment in one Department with a secondary appointment in another. In some cases, the Clinical Faculty member may, over time, perform most clinical duties and teaching within the secondary department. Under those circumstances, the individual may request reassignment of the primary appointment. This individual, with approval of the Department Chair, would be appointed at a similar rank as per their previous appointment. Applications for promotion should always go through the primary department to which the individual is appointed.

II. DESCRIPTION of ACADEMIC RANKS AND CRITERIA FOR PROMOTION

A. Clinical Lecturer (Probationary)

1. Is engaged in teaching of medical students, residents and fellows in a clinical or classroom setting as related to their affiliation.
2. Maintains clinical competence as professionally mandated, including but not exclusive to:
 - A valid license with the College of Physicians and Surgeons of Alberta or other professional regulatory body.
 - Privileges granted by Alberta Health Services (AHS) if providing clinical services within the AHS.

After a period of not more than 3 years, individuals who have attained criteria 1 and 2 (under Assistant Clinical Professor-below) will be automatically considered by their Clinical Chair to be promoted to from Clinical Lecturer to the rank of Assistant Clinical Professor. Department Chair may, at their discretion and based on significant achievements in any of these criteria, recommend the candidate to apply for promotion after a minimum of 1 year. In this case a formal application by the individual is necessary.

B. Assistant Clinical Professor

1. Has demonstrated commitment as a teacher, demonstrated satisfactory teaching quality as evidenced by teaching evaluations, and shows sustained effort to facilitate teaching and education.
2. Has contributed to clinical scholarship, such as supporting recruitment of patients for enrolment in clinical trials, or participates in clinical quality improvement initiatives.
3. Has served on local hospital, regional, university or provincial committees.

Individuals being considered for EARLY promotion to Assistant Clinical Professor are expected to have attained criteria #1 plus one or more of the other criteria

C. Associate Clinical Professor

1. Is recognized as an excellent teacher in the department.
2. Is recognized by peers as demonstrating excellence in clinical service provision.
3. Has taken an active leadership role in hospital, university, provincial or national professional organizations in areas such as clinical innovation and knowledge translation.
4. Has been invited to speak at medical society meetings, at accredited continuing professional learning programs, and at other institutions as guest speaker.
5. Has publications in research, quality improvement, administrative, or educational journals or has presented at provincial and national clinical education or research meetings.

Individuals being considered for promotion to Associate Clinical Professor are expected to have attained criteria #1 plus two or more of the other criteria

D. Clinical Professor

The rank of Clinical Professor is awarded to those individuals who have demonstrated **LEADERSHIP** in at least two of the following 4 pillars:

1. Clinical Teaching: Has proven to be an enthusiastic, effective and devoted leader in the educational program (e.g. program director, curriculum/course development)
2. Research: Has demonstrated scholarship in research as illustrated by publications in peer-reviewed journals, functioning as a reviewer for scientific or education publications, and/or as a holder of peer-reviewed and other research grants. Has presented clinical, educational, or research findings at national and international meetings.

3. Clinical Quality Improvement Innovation/Leadership: Is recognized by peers at a provincial, national or international level as being an outstanding professional who has made significant contributions to the practice of medicine and the improvement of health care delivery (establishing new clinical programs, innovative care delivery models, or demonstration of quality improvement scholarship).
4. Administrative Leadership: Has been elected to office in leading provincial, national, or international professional organization or has performed administrative or policy functions in the university, region or in a professional organization.

In addition, the individual must have demonstrated an on-going commitment to teaching with satisfactory teaching evaluations.

Individuals being considered for promotion to Clinical Professor are expected to have attained leadership in at least 2 of the 4 criteria outlined above.

III. GENERAL DESCRIPTION of CRITERIA FOR PROMOTION

A. Teaching

The criteria for competent performance in teaching are applied with increasing stringency as experience and rank increases.

In assessing competence in teaching, evidence may be collected from evaluations completed by students and residents. It is anticipated that peer-to-peer assessments, once operationalized, will also be incorporated in assessment of teaching competence. Other competency indicators may include the use of innovative and constructive teaching methods and ability to communicate effectively with students and colleagues.

B. Clinical Competence

Clinical competence is expected of all physicians on staff. Clinical activities are expected to progress toward excellence as rank increases.

The development of special interests and expertise is important.

The development and implementation of new techniques, clinical innovations, and approaches to clinical care delivery will receive high weighting when present.

C. Administration

Administration may include the organization of courses or parts thereof; service on regional, University, or professional organization committees, responsibility for special programs and formal administrative posts.

Leadership positions within organizations (University of Alberta, regional or provincial organizations) will also be evaluated for merit.

D. Research

Clinical research activity as a primary investigator or in collaborative studies, will contribute to a staff member's eligibility for promotion. The quality of research activity will be assessed on the basis of the stature of journals in which papers are published, the opinion of experts in the field, the extent to which publications are cited in the literature and thorough professional recognition as indicated by invitations to symposia and other meetings. Basic science research activity is not a requirement for Clinical Faculty.

Note: Individuals are expected to meet or exceed most criteria but it is recognized that major emphasis may favor one area over another, i.e. teaching vs. research vs. administration.

IV. PROMOTION CHART

| ASPIRED RANK | THOSE ELIGIBLE | TIME REQUIREMENT IN PRESENT |
|------------------------------|------------------------------|------------------------------------|
| Clinical Professor | Associate Clinical Professor | Normally minimum of 8 years |
| Associate Clinical Professor | Assistant Clinical Professor | Normally minimum of 4 years |
| Assistant Clinical Professor | Clinical Lecturer | Normally minimum of 1 year |
| Clinical Lecturer | All teaching faculty | None; probationary |

The Chair may recommend individuals for consideration for promotion earlier than the minimum required times when individuals have achieved or exceeded the criteria sooner. This will be considered by the Vice-Dean, Faculty Affairs on a case-by-case basis.

V. PROMOTION PROCEDURES

1. With the exception of Clinical Lecturer to Assistant Clinical Professor rank, which is automatically considered after 3 years, the Department Chair's office will, on an annual basis by November 15, provide all Clinical Faculty eligible for promotion with an invitation to apply as well as supply references to this document. Eligible members may also approach the Chair or delegate to discuss their desire for promotion at anytime.
2. Annual Reports will be required for the minimum time frame in present rank for review by the department chair to form part of the promotion package. For example, if an individual aspires to be a Clinical Professor, a minimum of 8 years of annual reports need to be filed prior to the application.

3. The Chair (or delegate, i.e. Divisional Director) will inform Clinical Faculty in the Department of the promotion deadlines. These time lines are normally:
 - Submission to the Department Chair of application for promotion by January 31st
 - Review by the Department Chair or departmental promotions committee by March 31st
 - Recommendation for promotion to be reviewed by the Dean by May 31st (for July implementation)
- a. In the case of promotion to Clinical Professor, the individual being considered will provide the Department Chair with the names and addresses of three referees, one of whom should be external to the individual's Department, and the other external to the Faculty of Medicine and Dentistry. While these individuals need not be of similar academic rank, they should have a significant leadership role within their organization and be able to attest to the accomplishments of the candidate applying for promotions. The referees also must not have any conflict of interest such as being personal friends, or collaborators of the candidate. The Department Chair will write to these individuals, or to others, to obtain additional information. It is not appropriate for the candidate to request a letter directly from the referee.
- b. Where the Clinical Faculty member is involved in research in a significant way, the Departmental research director should have input.
- c. The applicant for promotion will provide to the Department Chair all necessary documentation – i.e. Annual Reports, Curriculum Vitae, Teaching Dossier, names and addresses of referees in the case of promotion to Clinical Professor. In addition, the candidate will submit a narrative letter outlining in his/her mind the criteria they fulfill to warrant promotion to the next academic rank. Fulfilling a job description alone does not constitute sufficient reason to be promoted.
- d. In the case of promotion to Clinical Associate Professor, the Department Chair or Divisional Director should provide an attestation as to the candidate's demonstration of high clinical competence in the profession (as per section II.C.2)

VI. PROBATIONARY PERIOD

Appointment to the rank of Clinical Lecturer is considered probationary. Upon successful completion of the probationary period of 3 years, the individual will be recommended for promotion by the Department Chair unless criteria for reappointment are not met. The Clinical Lecturer appointment is non-renewable as it is expected that all Clinical Faculty with on-going teaching contributions to the Faculty will be promoted to Assistant Clinical Professor rank after probation, unless grounds for discontinuation exist (see section VIII). All other aspired ranks require applications to be submitted by the individual wishing to

be considered for promotion.

VII. REAPPOINTMENTS

Clinical Faculty members will be reappointed to their current rank unless they have successfully passed the promotion process to the next rank. In order to be reappointed, Clinical Faculty members must have an on-going relationship with the University in a teaching, research or administrative capacity. The frequency of renewals will be as follows:

| RANK | Frequency |
|------------------------------|---|
| Clinical Professor | Every 5 years |
| Associate Clinical Professor | Every 5 years |
| Assistant Clinical Professor | Every 5 years |
| Clinical Lecturer | 3 years with mandatory review at 18 months, non-renewable |

At the time of renewal, Clinical Faculty will be given the opportunity to discuss career progress and development, and, if applicable, progress towards promotion with their Department Chair or delegate (Assistant/Associate Chair, Divisional/Associate Divisional Director). All Clinical Lecturers will have an in-person review by the Department Chair or delegate within 18 months of their appointment to ensure that they are on track for promotion during the probationary period. The Department Chair or delegate is expected to meet at least twice with all individuals in other ranks during the appointment period.

Reappointments occur at the discretion of the Dean.

All appointments and reappointments will include a formal Letter of Appointment, following the template of the University's Clinical Faculty Appointment Form.

VIII. SUSPENSION AND TERMINATION OF ACADEMIC APPOINTMENTS

The Department Chair may recommend to the Dean suspension or termination of a Clinical Faculty appointment. The Dean may suspend or terminate the appointment at any time on the basis of:

1. Criteria for appointment are no longer being met (e.g. no longer teaching, moved out of geographic region)

2. Suspension or loss of professional licensure and/or clinical privileges resulting in inability to carry out the duties required.
3. Failure on the part of the Clinical Faculty to comply with applicable policies, procedures, protocols or other requirements of the Faculty or University of Alberta, and following conclusion of any actions required by the policy or procedure.

Should a Clinical Faculty member wish to resign their appointment, they are encouraged to provide the Faculty with as much notice as possible to ensure alternative arrangements for their responsibilities can be made.

Upon cessation of an academic appointment, the Department Chair may formally acknowledge past contributions to the Department and to the University.

IX. APPEAL MECHANISM

A. Promotions

Failure to receive Department Chair recommendation for academic promotion, when eligible, may be appealed by the Clinical Faculty member upon 60 days with written notice given to the Department Chair.

An Appeals Committee will be struck for appeals comprising the Associate Dean Clinical Faculty as chair, except where potential conflict may arise. In the latter case an alternate chair will be named by the Vice-Dean, Faculty Affairs. Four other committee members will be selected from the Clinical Promotions committees from Departments other than the appellant's Department under a process directed by the Appeals Committee chair. The Committee's recommendation will be communicated to the Vice-Dean, Faculty Affairs for deliberation by Dean's Executive Committee whose decision will be final.

B. Suspension or termination

The individual may appeal a recommendation by a Chair to suspend or terminate their appointment within 60 days by written notice. The Dean may rule on the appeal or can at their discretion strike an Appeals Committee comprising the Associate Dean, Clinical Faculty, Associate Dean, Professionalism, and Vice Dean, Faculty Affairs. The Committee's recommendation will be presented to the Dean, whose decision will be final.

X. EMERITUS APPOINTMENTS

The title of Clinical Professor Emeritus recognizes meritorious service to the University of Alberta by an individual professor retiring from the University and recognizes the value the individual has earned with the University. Emeritus appointments are not automatic but is initiated by the individual's department chair. Upon retirement, a Clinical Faculty whose service is strongly identified with the University of Alberta and deemed worthy of continuing recognition, may be recognized with the title of Clinical Professor Emeritus. The individual, at the date of retirement, should have attained the rank of Clinical Professor and should have had at least 10 years of full-time service as a Clinical Faculty. Teaching record, community service and research will be considered in the decision to grant Clinical Professor Emeritus status. Such recommendation is made by the staff member's Dean to the Faculty Evaluation Committee. FEC will scrutinize each proposal and either:

- a. Support the recommendation and forward it to Deans' Council for decision, or
- b. Not support the recommendation, in which case the decision shall be final.

Deans' Council will decide each case on its individual merits.

Notwithstanding the provisions above, if the Provost and Vice-President (Academic) believes that a person should not hold the title of Clinical Professor Emeritus, in spite of complying with the conditions, they will advise the person of this position, in writing. If that person wishes to challenge the Provost and Vice-President (Academic) on this matter, they may submit a written challenge to the President, whose decision is final.

Full recruitment policy found in link:

<https://policiesonline.ualberta.ca/policiesprocedures/policies/recruitment-policy.pdf>

APPENDIX A.
CLINICAL FACULTY PROMOTIONS APPEALS COMMITTEE

Background

As part of the initiative to harmonize the Clinical Faculty promotions process it is recognized that currently the process is varied among the 13 different clinical Departments. While some Departments have formal promotions committees, others are handled by the chair alone. In the spirit of providing consistency, transparency and fairness to the process it is necessary to establish a promotion appeals committee for our Clinical Faculty.

Process

To mitigate against real or perceived conflict of interest it is necessary to establish a committee to review all appeals for individuals denied promotion in a fair and transparent manner. This is accomplished by a uniform application of promotions criteria as set out by the document: **Procedure for Appointment and Promotion Criteria Clinical Faculty.**

The appeals committee needs to consist of individuals familiar with the criteria for promotions, and ideally, they should have participated in their own departmental promotions committee. Further, two of the four individuals should hold the rank of Clinical Professor, and the other two Clinical Associate Professor to ensure familiarity of the criteria in those respective ranks

The package containing the appeal will be reviewed by the committee within 30 days of submission, and the recommendations of the committee will be submitted to the Vice Dean, Faculty Affairs.