

Continuing Appointment Review (CAR)

CAR Coordinator's Instructions

1. Login to the Laserfiche Repository at: <https://documents.med.utoronto.ca/laserfiche/>

Select Repository "Appointments", then enter your User name and Password and click [Sign in].

On the left pane, click on Your Department ---> In the middle pane, click on ***Continuing Appointment Review**.

In the middle pane are Continuing Appointment Review folders (green-barred) for those faculty whose data in the permanent dossier (yellow-barred) meets the following criteria:

- i. Academic Appointment Category = Clinical MD Full-Time
- ii. Continuing Contract Status is NOT "Continuing"
- iii. The faculty member's Start Date plus 3 years is less than or equal June 30, 2020.
(making then presently eligible for CAR)

2. **It is very important to setup your column headings to display the CAR template fields.**

- i. In the middle pane in the column heading bar, right mouse click and select "Column Picker".
- ii. The Configure Column Display window will appear with two columns "Available" and "Selected".
- iii. Click the "Reset" link (upper right), then under "Selected", remove the following field values by double-left clicking on them (Creation date, Last modified, Pages and Template). Name will be the only field remaining.
- iv. In the Search window below "Available", type "continuing appointment review", then drag the bolded subheading "Continuing Appointment Review" to the column under Selected.

The CAR fields will now be in the Selected box and will display in the recommended order.

- | | |
|---------------------------------------|--------------------------------------|
| (1) Name | (10) CAR HR Approval Status |
| (2) CAR Progress | (11) CAR HR Comment |
| (3) CAR Department Tasks | (12) CAR Dean Approval Status |
| (4) COI Declaration Candidate | (13) CAR Dean Comments |
| (5) COI Declaration Committee | (14) Primary Clinical Site ReadOnly |
| (6) COI Declaration Comments | (15) CurrentContinuingContractStatus |
| (7) CAR Chair Recommendation | (16) Start Date ReadOnly |
| (8) Academic Position Description NEW | (17) CAR Progress History |
| (9) CAR Chair Comments | (18) Department |

- v. To save this setup click [Save Profile], then type a name in the "Save as a new column profile" option, and click [Save]. To skip saving the profile, click [Apply].

3. **Set the CAR File Collection Deadline:**

The CAR File Collection Deadline is the date that will be inserted into the initial email notification to faculty regarding the CAR (see page 5 for text of email). This field does not appear in the set of columns above because its value is set in the Department Information template. To set this date, click on your Department folder to highlight it and, in the Department Information template that appears in the right pane, scroll down to the "CAR File Collection Deadline" field and select a date. [Save].

4. **Review the CAR folders (green-barred):**

If there are any CAR folders missing, please confirm first that the data in the permanent dossier meets the criteria for CAR, as described in section 1 of this document. Next contact the Discovery Commons for assistance. For CAR folders you believe should not be there, please read below:

- CAR folders for faculty members whose CAR is being deferred to the next academic year should be handled properly by selecting Defer to next Academic Year in the CAR Department Tasks field (see page 4). This will record the deferral and remove the CAR folder. It will be regenerated for next year.

- CAR folders for faculty members who have already received Continuing status can be deleted by the Discovery Commons (discovery.common@utoronto.ca). Before asking the Discovery Commons to delete them, please update the End Date and the Continuing Review Status in the permanent dossier AND update HRIS if necessary.
- CAR folders for faculty members who are no longer active can also be deleted by the Discovery Commons (discovery.common@utoronto.ca). Before asking the Discovery Commons to delete them, please drag the permanent dossier into Archives.

5. The CAR Department Tasks and the CAR Progress fields:

CAR Department Tasks:

As CAR Coordinator, you will change the **CAR Department Tasks** field value throughout the steps of the CAR. Please refer to the summary table on page 4 for full details of when and what happens with each selection.

The CAR will start with the CAR Coordinator either sending a CAR notification to the faculty member, or Deferring the faculty member to the next academic year. These selections are made in this CAR Department Tasks field. See page 5 for an example of the notification email.

CAR Progress:

This is a read-only field that will track the progress of the CAR.

6. Declarations of Conflict of Interest (COI): <https://documents.med.utoronto.ca/Forms/COIdeclarations>

COI Declaration Candidate:

The email notification sent to the faculty member about the CAR contains the web form link for “Declaration of Conflict of Interest”. The faculty member is asked to only submit this web form if they have a conflict to declare. Upon submission of the web form, a copy is sent to the submitter and the value of the “**COI Declaration Candidate**” field will be set to “COI Resolution Needed”. This conflict must be resolved by the department. When resolved, the department coordinator will update the value of the field to either “Determined No Conflict” or “Committee Members Recused”. Any notes to be kept can be added to the COI Declaration Comments field.

COI Declaration Committee:

There is no web form for this. If a Committee member declares a Conflict of Interest, then the CAR Coordinator will set this field value to “COI Resolution Needed”. The department must resolve the conflict, at which point the department coordinator will update the field value to either “Determined No Conflict” or “Committee Members Recused”.

7. Importing documents to the candidate’s *Continuing Appointment Review folder:

The document upload web form is available for anyone to use. Submitters will need to provide the Appointment ID and Last Name to submit documents. <http://documents.med.utoronto.ca/Forms/CARdocuments>. This form will be prefilled with this information if the linked from the notification email is used.

CAR Coordinators also have the option to import documents directly into the CAR folder:

- From the Department folder, go to the *Continuing Appointment Review folder and double-click on the candidate.
- In the upper right click the Import button (Arrow icon pointing up).
- The Import Files window will display. Click [Browse], then select the enclosure file, then [Open].
- The file selected will be listed, click [OK].

- v. Ignore the second box that comes up unless you would like to change the file name of the incoming document. Click [Import].
The file will now be inside the candidate's CAR folder.

8. CAR Chair Recommendation and Academic Position Description NEW:

When the CAR Chair or CAR Committee has completed the review and made a recommendation, the CAR Coordinator will record this recommendation in the **CAR Chair Recommendation** field. Note that selecting a field value here does not trigger any action, it just records the decision.

In order for the Chair's recommendation to be relayed to the Dean, the CAR Coordinator must set the CAR Department Tasks field value to "Relay Chair's Recommendation to Dean".

If the CAR Chair Recommendation is either "Transfer to Continuing with New APD", or "Extend Probation by 1 Year with New APD", then the **Academic Position Description NEW** must be indicated BEFORE the CAR Department Tasks field value is changed to "Relay Chair's Recommendation to Dean". If it is not, the value in the CAR Department Tasks field will revert back to its previous value and the department coordinator will receive an email alerting them to the problem.

CAR Department Tasks – Actions Triggered by Value Selection

Field Value Selected:	When to select this value and what happens:		
Pending	Laserfiche will reset to the CAR Department Task to this setting throughout the review process.		
Defer to Next Academic Year	Select if the candidate's three year review is postponed until the following year. This will trigger Laserfiche to change the Continuing Contract Status in the Permanent dossier to '1 year probationary extension'; move the CAR folder into the candidate's permanent dossier and rename it; update the appointment End Date ; record the deferral in the CAR Progress History.		
Send CAR Notification Email	Triggers the sending of an email to the faculty member that provides an explanation of the CAR requirement and includes links to two web forms: (i) Declaration of a COI (conflict of interest); (ii) document submission web form.		
Grant Reviewer Permissions	Select when the CAR folder is ready for the CAR reviewers (ie. documents received, any COIs resolved). This will provide reviewers with access through the Read Only portal. URL: https://documents.med.utoronto.ca/Appointments username: DAC###		
Relay Chair's Recommendation to Dean	<p style="text-align: center;">BEFORE changing to this Task:</p> <p>Enter and save any notes in the CAR Chair Comments. If the CAR Chair Recommendation contains "...New APD", there must be a value in the Academic Position Description NEW field. When the Relay Chair's Recommendation value is selected, HR and/or the Dean will gain access to the dossier. The candidate will be emailed with the Chair's recommendation (except in cases where the Chair's Recommendation is "Terminate Appointment").</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;"> <p>HR will have access, if the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing with New APD* Extend Probation by 1 Year with New APD* Terminate Appointment <p>After HR reviews the file, it will be forwarded to either the Dean, or returned to the CAR Coordinator. If returned to CAR Coord, the CAR Coordinator must address HR's request, then re-set the value in this field to "Relay Chair's Recommendation to Dean" to send it back.</p> </td> <td style="width: 50%; padding: 5px;"> <p>The Dean will have access when the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing Extend Probation by 1 Year Extend Probation by 2 Years <p>After the Dean reviews the file, he will update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <u>If Denied</u>, then the CAR <i>Chair's</i> Recommendation field will reset to "Pending". The Chair/Committee can then review and re-submit their recommendation. The CAR Coordinator will then need to reset this field's value back to "Relay Chair's Recommendation to Dean".</p> </td> </tr> </table>	<p>HR will have access, if the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing with New APD* Extend Probation by 1 Year with New APD* Terminate Appointment <p>After HR reviews the file, it will be forwarded to either the Dean, or returned to the CAR Coordinator. If returned to CAR Coord, the CAR Coordinator must address HR's request, then re-set the value in this field to "Relay Chair's Recommendation to Dean" to send it back.</p>	<p>The Dean will have access when the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing Extend Probation by 1 Year Extend Probation by 2 Years <p>After the Dean reviews the file, he will update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <u>If Denied</u>, then the CAR <i>Chair's</i> Recommendation field will reset to "Pending". The Chair/Committee can then review and re-submit their recommendation. The CAR Coordinator will then need to reset this field's value back to "Relay Chair's Recommendation to Dean".</p>
<p>HR will have access, if the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing with New APD* Extend Probation by 1 Year with New APD* Terminate Appointment <p>After HR reviews the file, it will be forwarded to either the Dean, or returned to the CAR Coordinator. If returned to CAR Coord, the CAR Coordinator must address HR's request, then re-set the value in this field to "Relay Chair's Recommendation to Dean" to send it back.</p>	<p>The Dean will have access when the CAR Chair Recommendation is set to any of:</p> <ul style="list-style-type: none"> Transfer to Continuing Extend Probation by 1 Year Extend Probation by 2 Years <p>After the Dean reviews the file, he will update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <u>If Denied</u>, then the CAR <i>Chair's</i> Recommendation field will reset to "Pending". The Chair/Committee can then review and re-submit their recommendation. The CAR Coordinator will then need to reset this field's value back to "Relay Chair's Recommendation to Dean".</p>		
Send Final Email if Continuing (Allows Enclosure)	After receiving the Dean's approval, <u>if the appointment will be transferred to Continuing</u> then select this value. This selection will trigger an email to the candidate with or without an enclosure attached. If a file with a file name beginning with the word Enclosure (eg. Enclosure_APD) is in the CAR folder, it will be attached to the email. If the Chair's Recommendation was <ul style="list-style-type: none"> 'Transfer to Continuing', an enclosure is not required but you may send one. "Transfer to Continuing with New APD", an enclosure with new job description is required 		
Send Final Email if Other (Requires Enclosure)	After receiving the Dean's approval, <u>if the appointment will NOT be transferred to Continuing</u> then select this value. This selection will trigger an email to the candidate. A file with a file name beginning with the word Enclosure (eg. Enclosure_APD) must be in the CAR folder so it can attached to the email. The selection of this value is valid when the Dean approved a Chair Recommendation to: <ul style="list-style-type: none"> Extend Probation by 1 Year with New APD Extend Probation by 1 Year Extend Probation by 2 Years 		
	NOTE: If the CAR Chair Recommendation is " Terminate Appointment " the candidate needs to be contacted outside of Laserfiche with a copy of this communication saved to their CAR folder.		
Done – Move CAR into Permanent Dossier	Select this value after sending the final email. This moves the faculty member's CAR dossier to their permanent dossier and renames it. For faculty members whose appointments are terminated, selecting this value will also move the permanent dossiers to Archives.		

NOTIFICATION EMAIL SAMPLE

Subject: IMPORTANT! U of T Continuing Appointment Review Commencement

Dear Dr. **Last Name**,

It is time to conduct your continuing appointment review (CAR) as a new full-time clinical academic in the Department of **Department**, Faculty of Medicine, University of Toronto. A successful CAR means you will be transferred to a continuing appointment stream.

CAR is normally conducted between the beginning of the fourth year and the end of the fifth year of your initial appointment. Under specific circumstances agreed to by your University Department Chair, you may be undergoing CAR outside the normal period.

Two items are required from you at this point:

1. *Declaration of Conflict of Interest*. DUE: **COI Deadline**
2. *CAR file collection*. DUE: **CAR File Collection Deadline**

1. *Declaration of Conflict of Interest*.

As a candidate undergoing CAR, as a part of the review process, you must identify and notify your Chair of any potential or actual conflicts of interest with any CAR committee member (see attached for members). If there is a conflict, please notify the Chair by completing this **Conflict of Interest** web form. If you are unsure whether or not there is a conflict, please fill out the form and state your concerns in the Comments area. The Chair, or the University, as appropriate, will work with you to determine if there is a conflict and manage it appropriately. **If you do not have any conflicts of interest, do not fill out the form.**

2. *CAR file collection*.

Please review the attached file for the list of documents you must submit as part of your CAR file dossier. Use this link, **Submit CAR Documents**, to submit files to your dossier. All documents are due *CAR File Collection Deadline*.

Appointment ID: *Applicant ID*

Last Name: *Last Name*

How will your file be assessed?

The CAR Committee and Chair will review your dossier for the answer to one question: "Given the terms and expectations set out at the time of the probationary appointment, and the academic standards of the Department and Faculty, does the appointee's performance merit a recommendation that he/she be transferred to the system of continuing annual renewal?" (see **Procedures Manual, p.19**). When they have completed their review, they will make a recommendation to the Dean for final review and approval. You will be informed when the recommendation goes to the Dean.

If you have any questions or concerns about this process, please contact your Chair by sending an email to *Dept Coordinator Email Address*.

Best Wishes,

Department of **XXX** | Faculty of Medicine
University of Toronto