

# Continuing Appointment Review (CAR)

## CAR Coordinator's Instructions

### 1. Preparing for green-barred CAR folder generation in Laserfiche ([MedHR: CAR – Step 1](#))

Similar to the preparation process for Clinical ARA and Status-only ARRA, the CAR Coordinator must review the Full-time Clinical Academic Laserfiche dossiers in the permanent records area to ensure the files are accurate:

- i. The following search syntax should be used: {LF:LOOKIN="Appointments\YOURDEPARTMENTNAME\Clinical MD", SUBFOLDERS=0} & ({}:[Academic Appointment Category]="Clinical MD FullTime")
- ii. Review the following fields to ensure accuracy of information with the signed offer letter and Focus/HRIS –
  - (1) Start Date
  - (2) End Date
  - (3) ContinuingContractStatus
- iii. Any corrections to these fields need to be done to the yellow-barred 'Candidate Information' template of the permanent dossier.

Continuing Appointment Review folders (green-barred) will be generated 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 to the next June 30<sup>th</sup> (e.g. June 30, 2020 for CAR in the 2020-2021 academic year).

### 2. To launch the CAR, login to the Laserfiche Repository at: <https://documents.med.utoronto.ca/laserfiche> ([MedHR: CAR – Step 2](#))

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 the CAR green-barred folders generated for the current academic year, i.e. the Full-time Clinical Academic faculty Laserfiche has identified as due for CAR based on the criteria listed in Step 1.

### 3. 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].

#### 4. Set the CAR File Collection Deadline and upload attachments

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].

Attachments can be included in the CAR request notification to faculty. Any documents in the `\Department\Continuing Appointment Review\*Templates Only` folder with a file name beginning with CAR\_Departmental will be attached to the initial email notification to the candidate. The department coordinators are able to add the desired files to the folder by themselves.

For departments who initiates the CAR process based on the time lapse for each faculty member, the CAR File Collection Deadline and attachment detailing documents required and committee membership will need to be revised before each initial email notification is sent to each faculty member.

#### 5. Review the green-barred CAR folders ([MedHR: CAR – Step 4](#))

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 completing two tasks –
  - i. Add a note-to-file explaining the reason for deferral by either using the CAR Chair Comments field of the CAR Review template (green-barred) or uploading a note in PDF format (email exchange is fine) into the green-barred CAR review folder. This is important for future reference.
  - ii. Then select *Defer to next Academic Year* in the CAR Department Tasks field (see page 4). This will record the deferral and file the CAR folder in the permanent dossier. 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](mailto: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 Discovery Commons ([discovery.common@utoronto.ca](mailto:discovery.common@utoronto.ca)) –
  - i. Add a note-to-file explaining the reason faculty is no longer active and the effective date either using the CAR Chair Comments field of the CAR Review template (green-barred) or uploading a note in PDF format (email exchange is fine) into the green-barred CAR review folder. This is important for future reference.
  - ii. Drag the permanent dossier into Archives.
  - iii. Ask Discovery Commons to delete the CAR review folder.

#### 6. 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.

## **7. Declarations of Conflict of Interest (COI): <https://documents.med.utoronto.ca/Forms/COIdeclarations> (MedHR: [CAR – Step 3, Task 1](#))**

### **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 required to complete this web form to confirm whether or not they have a conflict to declare. Upon submission of the web form, a copy is sent to the submitter. If the faculty answered Yes or Unsure to the question “I have a conflict to declare”, then the value of the “**COI Declaration Candidate**” field will display as “COI Resolution Needed” and the conflict must be resolved by the department. When resolved, the department coordinator will update the value of the “COI Declaration Candidate” 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”.

## **8. Importing documents to the candidate’s \*Continuing Appointment Review folder (MedHR: [CAR – Step 3, Task 2](#))**

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 link from the notification email is used.

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

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

## **9. CAR Chair Recommendation, Academic Position Description NEW, and Chair’s Recommendation Notification to Candidate (MedHR: [CAR – Step 5](#))**

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 two tasks need to be completed BEFORE the CAR Department Tasks field value is changed to “Relay Chair’s Recommendation to Dean”:

- i. The **Academic Position Description NEW** must be indicated. If it is not, the value in the CAR Department Tasks field will revert back to its previous value and the CAR Coordinator will receive an email alerting them to the problem.
- ii. A new Academic Position Description (APD) triply signed by the candidate, Hospital Physician-in-Chief, and University Department Chair must be uploaded into the Laserfiche green-barred CAR file as a PDF. The filename must begin with the word Enclosure (e.g. Enclosure\_APD-New).
- iii. A note-to-file in PDF format explaining the reason for the APD change must be uploaded into the Laserfiche green-barred CAR file.

**IMPORTANT:** When the CAR Department Tasks field value is set to “Relay Chair’s Recommendation to Dean” and saved, both HR and/or the Dean will be able to access the candidate’s CAR Review. Laserfiche will send a notification to the candidate (except if CAR Chair Recommendation is Terminate Appointment) and any text in the CAR Chair Comments field will be included in the email.

## 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: <a href="https://documents.med.utoronto.ca/Appointments">https://documents.med.utoronto.ca/Appointments</a> username: DAC###		
Relay Chair's Recommendation to Dean	<p style="text-align: center;"><b>BEFORE changing to this Task:</b></p> <p>Select the CAR Chair Recommendation. If the CAR Chair Recommendation contains "...New APD", there must be a value in the <b>Academic Position Description NEW</b> field and upload the new APD and note explaining the reason for a new APD to the CAR Review folder. Enter and save any notes in the CAR Chair Comments the Department wants relayed to the candidate.</p> <p>When the Relay Chair's Recommendation value is selected, HR/Dean's Delegate will gain access to the dossier and <b>the candidate will automatically be emailed with the Chair's recommendation</b> including anything entered into the CAR Chair Comments textbox (except if Chair's Recommendation is "Terminate Appointment"; no email is automatically sent).</p>		
	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>HR will have access, if the <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing with New APD*</li> <li>Extend Probation by 1 Year with New APD*</li> <li>Terminate Appointment</li> </ul> <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%; vertical-align: top;"> <p>The Dean's Delegate and HR will have access when the <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing</li> <li>Extend Probation by 1 Year</li> <li>Extend Probation by 2 Years</li> </ul> <p>The Dean's Delegate will review and update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <i>If Denied</i>, then the CAR <i>Chair's Recommendation</i> 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 <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing with New APD*</li> <li>Extend Probation by 1 Year with New APD*</li> <li>Terminate Appointment</li> </ul> <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's Delegate and HR will have access when the <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing</li> <li>Extend Probation by 1 Year</li> <li>Extend Probation by 2 Years</li> </ul> <p>The Dean's Delegate will review and update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <i>If Denied</i>, then the CAR <i>Chair's Recommendation</i> 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 <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing with New APD*</li> <li>Extend Probation by 1 Year with New APD*</li> <li>Terminate Appointment</li> </ul> <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's Delegate and HR will have access when the <b>CAR Chair Recommendation</b> is set to any of:</p> <ul style="list-style-type: none"> <li>Transfer to Continuing</li> <li>Extend Probation by 1 Year</li> <li>Extend Probation by 2 Years</li> </ul> <p>The Dean's Delegate will review and update the CAR Dean Approval Status to either "Chair's Recommendation Approved"; or "Chair's Recommendation Denied". <i>If Denied</i>, then the CAR <i>Chair's Recommendation</i> 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_Congratulations) is in the CAR folder, it will be attached to the email. If the Chair's Recommendation was <ul style="list-style-type: none"> <li>'Transfer to Continuing', an enclosure is not required but you may send one.</li> <li>"Transfer to Continuing with New APD", an enclosure with new job description is required</li> </ul>		
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-New) <b>must</b> be in the CAR folder so it can be 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"> <li>Extend Probation by 1 Year with New APD</li> <li>Extend Probation by 1 Year</li> <li>Extend Probation by 2 Years</li> </ul>		
	NOTE: If the <b>CAR Chair Recommendation</b> is " <b>Terminate Appointment</b> " 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**, Temerty 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.*

You must identify and notify your Chair of any potential or actual conflicts of interest with any CAR committee member (see attached for members). Please complete the Conflict of Interest web form whether or not you have a conflict to declare. 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, you must still complete the form, indicating no conflicts.**

#### *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** | Temerty Faculty of Medicine  
University of Toronto