



Penn Medicine

Annual COAP Update

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Agenda

- ▶ Annual report of outcomes for Appointment and Promotion reviews
- ▶ Review of updated PSOM COAP Guidelines
- ▶ Review of updated DCOAP Operational Guidelines
- ▶ Highlights of Schedule and Procedures for AY '22 and '23

Annual Report of the COAP

Outcomes of Considerations for
Appointment and Promotion

PSOM COAP Guidelines



What was revised

- ▶ Promotion Guideline Document
- ▶ Personal Statement
- ▶ Chair's Letter
- ▶ DCOAP Process
- ▶ Overall, a highly iterative process

Pandemic Opportunity

- ▶ Reinforce the holistic review of faculty candidates.
- ▶ Deliberately and intentionally state the importance of diverse achievements to our promotions process.
- ▶ Encourage the inclusion of a statement of mitigating circumstances, if applicable.

Spectrum of Phenotypes

- ▶ Scientists with traditional metrics of peer-reviewed publications, citations, grant funding.
- ▶ Clinical scholars with some traditional metrics and development of high impact programs/initiatives that have changed care delivery, the health of a population etc. (particularly those that impact community health)
- ▶ Clinicians with diverse areas of concentration.

Promotion Guideline Revision Highlights

- ▶ Fundamental to promotion in all tracks:
 - evidence of continuously evolving academic productivity and a clear upward trajectory captured through an evaluation of the totality of the impact of a candidates' body of work.
- ▶ Tenure, Clinician-Educator and Research track faculty must demonstrate continuous scholarly productivity but can explicitly include other significant achievements in their case for promotion.

Promotion Guideline Revision: Key Terms

- ▶ Impact - direct effect of one's work on science, medicine, health care, patient care and/or our community; assessed by a variety of metrics.
- ▶ Trajectory - momentum in pursuit of one's career path.
 - Promotion anticipates continued upward trajectory and impact.
 - Trajectory will be interpreted within the context of mitigating life circumstances.

Promotion Guideline Revision: Key Terms

cont'd

- ▶ Collaborative research - distinctive contributions to a team of contributing investigators that results in publication and is recognizable by extramural consultants and others.
 - Individual investigators should be able to identify the unique, original, and expert skills and ideas contributed to a project.
- ▶ Community engagement - institutional, local, national, and international community contributions that are closely aligned with and complementary to a candidate's academic work.
 - Activities reflect innovations in science/medicine/healthcare that lead to demonstrable improvements in knowledge, health, health care/delivery.

Promotion Guideline Revision: Key Terms

cont'd

- ▶ Institutional citizenship - participation in service relevant to faculty member's academic activities and missions of PSOM/University.
 - encompasses efforts related to mentoring, professionalism, inclusion, diversity and health equity.
- ▶ Professionalism - exemplary behavior including the demonstration of honesty and integrity in all realms of work, respect for patients, colleagues, staff and learners at all levels, evidence of continuous learning and self-management toward a goal of personal betterment, and the encouragement of questions, debate and acceptance of diverse viewpoints without prejudice or bias.

Assessment of Impact

- ▶ Fundamental to promotion for CE, TT, RT faculty is evidence of continuous scholarly productivity and an evaluation of the totality of the impact of a candidates' body of work.
- ▶ Any area of research consistent with mission of the PSOM is acceptable as long as impact/upward trajectory of achievements over time is demonstrated.
- ▶ Community engagement will be carefully considered and refers to institutional, local, national, and international contributions that are closely aligned with and complementary to a candidates' academic work.
- ▶ Contributions to the development of innovative approaches to diagnosis, treatment or prevention of disease, applications of technologies and/or models of care delivery that improves care.

Scholarly Activity Impact

- ▶ Demonstration of impact requires evidence of successful translation of new knowledge into new approaches, techniques, devices, programs etc. and may include:
 - Peer-reviewed research papers (citations, contribution to work, authorship)
 - Grant funding
 - Academic awards
 - Participation in study sections, organizing committees, etc.
 - Editorial leadership roles
 - External lectures and invited talks
 - Patents and commercialization aligned with primary research program
 - Identifiable contributions to team science

Education Impact

- ▶ Promotion in the AC, CE and TT tracks requires evidence of high quality engagement and excellence in education:
 - Direct teaching
 - Innovation in teaching methods or novel application of existing methods
 - Development of educational products or tools
 - Leadership roles or substantive participation in education programs/committees
 - Involvement in local mentoring programs, particularly inclusion, diversity, and equity outreach programs
 - Participation in CME, research and inter-professional meetings
 - Invited lectures
 - Internal and external evaluations
 - Track record of successful mentorship
 - Awards for local teaching or mentoring

Clinical Impact

- ▶ Contribution to the development of innovative approaches to diagnosis, treatment or prevention of disease, applications of technologies and/or models of care delivery that improve clinical care
- ▶ Service on committees in area of clinical expertise
- ▶ Leadership roles related to clinical expertise
- ▶ Invitations to share expertise through invited talks, book chapters, clinical reviews
- ▶ Awards for contributions and/or innovation in the area of clinical expertise
- ▶ Regional, national and international patient referrals
- ▶ Engagement/collaboration in clinical trials
- ▶ Clinical awards

Holistic Review



Appointments

- ▶ For candidates who are being proposed for appointment to the rank of Professor or Associate Professor and have achieved the rank or equivalent at a peer institution, the COAP will consider the totality of the candidate's previous accomplishments, reputation, and the potential impact the candidate will have on the prestige and mission of the PSOM and the University of Pennsylvania. Previous leadership roles and prior institutional impact may be relevant for individuals being appointed to major academic leadership positions.

Tenure to Associate

- ▶ The main criteria for promotion is evidence of continuous scholarly productivity since the initial appointment to the Standing Faculty and the national impact of a candidate's body of work. Impact refers to the direct effect of one's work on science, medicine, healthcare, and/or our community.
- ▶ The assessment of impact for this rank will focus on the review of one's independent research program that has produced a series of peer-reviewed original research articles. The candidate is generally funded by highly competitive peer-reviewed government and foundation-based awards for which the candidate serves as principal investigator. The impact of the candidate's work within their field of expertise and within team science is expected to have continuously evolved and/or expanded in a clear upward trajectory since their appointment and must be clearly described in the candidate's dossier. Collaborative and interdisciplinary research will also be considered especially when the faculty member's contributions were important to the success of the project .
- ▶ Successful candidates will have had impact in their area of expertise such that their achievements will be acknowledged by extramural consultants. (Additional metrics of impact can be found in appendix A.) In addition, there should be records of teaching excellence, professionalism and institutional citizenship as well as clinical excellence for those involved in clinical care.

Tenure to Professor

- ▶ The main criteria for promotion at this rank is evidence of continuous and upward trajectory of scholarly productivity since the last promotion that has resulted, when appropriate, in the international impact and recognition of the candidates' academic pursuit. The successful candidate will be among the top scholars in the country in their area of expertise, with evidence of having significantly expanded the impact of their independent research program since promotion to Associate Professor.
- ▶ Over the course of their Associate Professorship, most individuals will have been awarded multiple highly competitive peer-reviewed government and foundation based awards as principal investigator and will currently serve as a principal investigator for one or more awards. The impact of the candidate's work within their field of expertise and within team science is expected to have continuously evolved and/or expanded in a clear upward trajectory since the last promotion and must be clearly described in the candidate's dossier. Collaborative and interdisciplinary research will also be considered.
- ▶ Successful candidates will have significantly advanced science, education, medicine, and/or other pursuits in their area of expertise with such advancements acknowledged by extramural consultants. In addition, there should be increasing records of teaching excellence, sustained professionalism, and increasing institutional citizenship as well as sustained clinical excellence for those involved in clinical care. (Additional metrics of impact can be found in appendix A.)

CE to Associate

- ▶ The main criteria for promotion is evidence of continuous scholarly productivity reflecting a defined focus resulting in national impact of a candidate's body of work since their appointment. Impact for this rank will include an assessment of scholarly productivity (defined as original peer-reviewed publications, editorials, chapters, and reviews). (Additional metrics of impact can be found in appendix A.) Collaborative and interdisciplinary research, and team science is expected and encouraged and will be strongly considered but the candidate's role must be clearly described in the dossier.
- ▶ Successful candidates will have scholarly pursuits, as acknowledged by the extramural consultants, that have advanced an aspect of the PSOM's mission with respect to science, medicine, healthcare, education, community engagement, etc. Grant funding is not required but may be used as evidence to support an evolving reputation and scholarly impact. In addition, there should be records of participation and excellence in teaching excellence, professionalism, and institutional citizenship as well as clinical excellence for those involved in clinical care. (Details regarding metrics of impact can be found in appendix A.)

CE to Professor

- ▶ The main criteria for promotion is evidence of continuous and upward trajectory of scholarly productivity since promotion as Associate Professor that has resulted in an evolving national (often international) impact of a candidate's body of work. Impact at this rank will include an assessment of scholarly productivity defined as original peer-reviewed publications, editorials, chapters, and reviews in addition to other scholarly metrics listed in appendix A. Community engagement must be closely aligned with and inform a candidates' scholarly work if to be considered a substantial contributor to the overall assessment of impact. Collaborative and interdisciplinary research, and team science is expected and encouraged and will be strongly considered but the candidate's role must be clearly described in the dossier.
- ▶ Successful candidates will have continued to advance a scholarly aspect of medicine in their area of expertise with such advancements acknowledged by extramural consultants. Grant funding is not required but may be used as evidence to support reputation. In addition, there should be increasing records of teaching excellence, sustained professionalism, and increasing institutional citizenship as well as sustained clinical excellence for those involved in clinical care.

Perelman School of Medicine Faculty Track Descriptions

Effective 7/1/21

	Academic Clinician	Clinician Educator	Research	Tenure
Clinical activities (where applicable)	<ul style="list-style-type: none"> Expert clinicians with regional, national reputations Generally exceeds 20% effort 	Expert clinicians usually within an innovative or specific program/niche	NA	<ul style="list-style-type: none"> Usually narrow clinical expertise
Educational Focus	Usually clinical	Diverse settings	Minimal	<ul style="list-style-type: none"> Generally with focus on research mentorship
Research				
Type of research	<ul style="list-style-type: none"> Applied research extending existing observations in a field, recruitment of clinical trial patients 	<ul style="list-style-type: none"> Often collaborative, can be independent research that results in new discoveries/knowledge or extend/advances understanding of knowledge ultimately important to human health/disease 	<ul style="list-style-type: none"> Extends existing observations in a field/drives field in new direction 	<ul style="list-style-type: none"> Independent or innovative collaborative research that results in new discoveries/knowledge or extend/advances understanding of knowledge ultimately important to human health/disease*
Funding/Effort	<ul style="list-style-type: none"> Not required but may be contributor/ collaborator Generally, may not be PI/leader on federally sponsored research. 	<ul style="list-style-type: none"> Not required but may have diverse portfolio of grants/funding inc PI and Co-PI roles 	<ul style="list-style-type: none"> Research is primary focus often as Co-I on extramural grants 	<ul style="list-style-type: none"> Research effort will be funded by highly competitive peer reviewed government and foundation based awards.
Anticipated Impact				
Research	Optional	<ul style="list-style-type: none"> Original peer reviewed papers with identifiable focus as either collaborator or lead author. Chapters, reviews, alternative media Awards External lectures Continuous productivity Extramural consultant recognition Patents/commercialization aligned with primary research program 	<ul style="list-style-type: none"> High-impact original papers as leader/collaborator Grant funding Awards External lectures Extramural consultant recognition Continuous productivity Patents/commercialization aligned with primary research program 	<ul style="list-style-type: none"> High-impact original papers that must clearly highlight role in advancing the field. ** Grant funding Awards External lectures Participation in study sections/editorial boards Extramural consultant recognition Continuous productivity Patents/commercialization aligned with primary research program
Teaching	<ul style="list-style-type: none"> Teaching excellence High quality engagement inc development of courses/products/tools, committee work, outreach programs Leadership roles 	Teaching excellence	NA	Teaching excellence
Clinical	<ul style="list-style-type: none"> Expert clinicians Development of innovative approaches to dx, rx or prevention of disease Leadership roles related to Area of Concentration Awards 	<ul style="list-style-type: none"> Expert clinicians Development of innovative approaches to dx, rx or prevention of disease Leadership roles Awards 	NA	When applicable, expert clinicians in area of primary research
Reputation**	Associate- within PM community Professor-regional/national	Associate-National Full- National/International	Associate- National Full- International	Associate- National Full- International

*Any type of research can qualify, e.g., laboratory-based, clinical, public health, community based, bioethics research, or educational research. The branch or type of science (e.g., clinical vs basic research) represented by a faculty member's research program is not related to a specific track. What is important is the role they play in novel work that has a defined impact.

** An upward trajectory of an individual's achievements and impact is required for each promotion step
Shaded boxes indicate primary focus on track.



Personal Statement Revisions

- ▶ The purpose of this statement is to help others understand your career path and your most significant achievements.
- ▶ Information provided in the Personal Statement should complement but not repeat the CV.
- ▶ It is your personal academic narrative.

Personal Statement Revisions cont'd

- ▶ Opening paragraph characterizes your career path; describes what led to your focus.
 - If applicable, CE's should consider using a prototypical pathway to describe their focus.
- ▶ Describe 3-5 of your most significant accomplishments since your appointment or last promotion and specify how your efforts have advanced the PSOM's academic mission.
 - If accomplishments involve publications, cite and describe clearly your specific roles in the work.
 - If part of team science, describe unique and critical contributions to the effort.
- ▶ If not already described, all faculty who teach need a paragraph on teaching.
- ▶ All clinicians may describe clinical expertise and activities.
- ▶ The final paragraph should describe future directions and areas of planned expansion and growth in area of expertise.



Statement of Mitigating Circumstances

- ▶ PSOM recognizes that significant events (pandemic, personal or family issues, etc.) may impact academic trajectory.
- ▶ Some candidates will choose to incorporate such mitigating factors into their personal statements so they are available for review by extramural consultants, COAP and the Dean's office.
- ▶ Others will prefer mitigating factors not be presented to external consultants but would like them considered by our internal processes.
 - Candidates preferring this option can provide a brief addendum to the personal statement for internal purposes only.

Changes to Chair's Recommendation

▶ Additional Sections:

- Professionalism and Citizenship
 - Includes attestation
- Mitigating Circumstances - optional:
 - brief observation on the impact of COVID-19 and/or other mitigating circumstances that have disrupted a candidate's career trajectory.

▶ Clarification - Distinguishing Contributions:

- Include impactful contributions to inclusion, diversity, equity, community-based health or wellbeing program locally, nationally and internationally.

▶ Enhanced description of content expectations per section

Operational Guidelines for DCOAPs



DCOAP Chair

- ▶ Is appointed by the Department Chair and cannot be the Department Chair.
- ▶ Whenever possible, should be a Professor with tenure in PSOM.
- ▶ Should have a 3-year term that can be renewable.
- ▶ Generally should not hold a leadership role such as Vice Chair.
 - In departments with fewer than 10 standing faculty professors, Departmental Vice Chairs can serve as the DCOAP chair.

DCOAP Members

- ▶ Appointed by the Dept Chair in consultation with the DCOAP Chair.
- ▶ The Dept Chairs and Division Chiefs shall be Ex-Officio members.
- ▶ Shall comprise of at least three faculty members in addition to the chair qualified to vote on the faculty candidate under consideration.
- ▶ Education Officer shall provide reports of teaching for candidates with teaching responsibilities; may have formal review and voting responsibilities.
- ▶ The Vice Chair for Faculty shall be ex officio member, unless serving as DCOAP chair.
- ▶ If the dept has AC's, there shall be a senior AC member appointed.
- ▶ If the dept has RT faculty, consider senior representation.
- ▶ Retired/emeritus faculty shall not be members.

DCOAP Members cont'd

- ▶ Shall have 3-year terms with the option to renew.
- ▶ By July 1 annually, the Dept Chair will submit a list of the Dept COAP members (including rank and track) to the Office of Academic Affairs (OAA).
- ▶ All members must sign a confidentiality agreement at the beginning of their term.
- ▶ All members must participate annually in development programs offered by Academic Affairs to remain current on policies and procedures.

Functions of DCOAPs

- ▶ COAP reviews and votes on all faculty appointments, reappointments, voting secondary appointments, and all promotions.
- ▶ The following material shall be included in a dossier for review:
 - Personal statement
 - Up-to-date CV
 - Grants pages, if applicable
 - Education Officer report
 - Academic Plan
 - DRAFT Chair's Recommendation without the summary paragraph.
Following the DCOAP discussion, chairs or chairs designee(s) shall complete the Chair's Recommendation based on the case discussion.

Functions of DCOAPs cont'd

- ▶ DCOAP members with a self-perceived conflict of interest for a given candidate should recuse themselves during discussion and voting.
- ▶ DCOAP members should help inform the departmental mentoring program by reviewing the outcomes for reappointment (advisory letters, track changes, etc.) and promotion each year to see if their review processes are working.
- ▶ All elements in a dossier are confidential.
- ▶ Official note taking, if necessary, shall be performed only by the DCOAP chair.

Voting Procedures

- ▶ The following individuals may not vote: Dept Chair, Vice Chair for Faculty, Division Chiefs, and anyone with the potential for a conflict of interest.
 - DCOAP chair only votes if there is a tie.
- ▶ DCOAP members in the standing faculty are eligible to vote on faculty actions at similar rank or lower.
 - Tenured faculty can vote on decisions involving the granting of tenure and all other faculty actions.
 - CE faculty may vote on all faculty actions except votes granting tenure.
 - AC faculty may present AC cases of any rank and vote on those for AC faculty provided the member is at a higher rank.
 - Research track faculty shall not vote.

Voting Procedures cont'd

- ▶ A majority favorable vote of the DCOAP is required for a dossier to be transmitted to the PSOM COAP.
- ▶ A minimum of 3 faculty members, appropriate for the vote, are required to vote regarding any recommendation.
- ▶ In order to vote, committee members must participate in the discussion of the case under review.
- ▶ All votes must be anonymous and occur in written/electronic format with 2 options: approve or decline. Any votes that decline must provide a brief explanation for exclusive use by the DCOAP Chair and Dept Chair.

Procedures and Schedule

Appointment, Reappointment & Promotion

AY '22 and '23

Searches

- ▶ All searches must be compliant with University AA/EEO policies. If not, the recommendation cannot be processed.
- ▶ Collaborate with your departmental Diversity Search Advisor and search committees.
- ▶ National Search - posted for at least 3 months, required for standing faculty appointments.
- ▶ Limited Search - posted for at least 1 month, required for AC track appointments, all ranks.
- ▶ Faculty Opportunity Fund to support recruitment of women and underrepresented faculty to the Tenure and CE tracks.

Appointments

- ▶ Retroactive start dates cannot be counted on.
 - Contact OAA as early as possible, for unique situations.
 - Faculty Pending is for exceptional circumstances, not a standard part of the recruitment process.
- ▶ Search and RTR must be approved before dossier submission.
- ▶ Dossier Submission deadlines:
 - Assistant rank – minimum of 2 months prior to proposed effective date
 - April 1st for July 1 start date
 - Associate and Full ranks - ~4 months prior to proposed effective date

Reappointments

- ▶ Dossiers submitted in January for July 1 effective date.
- ▶ Considerations for potential track changes
 - Generally, track changes must be completed by the year prior to the second reappointment.
 - Exception - Changes from Research to Tenure track
 - Must be completed by the end of the first appointment term.
 - Probationary period is shortened (from 10-year to 7-year probationary period).
 - Track changes are processed as new Appointments.
 - Changes into the Standing Faculty, require a National Search.

Look ahead to 'AY 2023 reappointment candidates for discussion.

Promotions effective 7/1/22

- ▶ Dossiers should be coming into OAA now or as soon as called.
- ▶ The Provost has established the following deadlines:
 - Promotions to Professor in the Tenure, CE, or Research tracks should be reviewed by the Provost by 2/12/22.
 - Promotions to Associate Professor in the Tenure, CE, or Research tracks should be reviewed by the Provost by 4/30/22.
 - Non-mandatory reviews received after that date may be deferred to FY23.
 - Promotions in the AC track should follow the same schedule.

Promotions effective 7/1/23

Assistant to Associate Professor and Associate to Professor

Process	Due date
DCOAP reviews	January 7, 2022
Educational Database	May 2, 2022
Submission of Extramural Consultants	May 20, 2022
Submission of Extramural Consultant Packets	August 5, 2022*

- Dossiers should be “ready” to submit by September 2022.
- OAA will request submission as soon as Consultant letters have been received.

* *As soon as possible after List approval, but no later than August 5.*