

To: Department Chairs, D-COAP Chairs, Faculty Coordinators

From: Arberetta W. Bowles, Executive Director, Office of Academic Affairs

Date: September 27, 2022

RE: Procedures and Schedule for Faculty Appointments, Reappointments and Promotions AY2022-23 and AY2023-24

I am writing to review selected current and updated policies, guidelines and procedures for recruitment, appointment, reappointment, tenure decisions, and promotion on the tenure, clinician-educator, research, and academic clinician tracks. I would appreciate it greatly if you would share this document with all involved in the various processes.

On behalf of the Office of Academic Affairs, we extend our thanks to the Faculty Coordinators and other administrators for their partnership in supporting all departmental faculty actions and related business.

### Key Deadlines at a Glance

<b>Reappointments</b>	<b>Due by</b>
<ul style="list-style-type: none"> <li>Reappointments effective July 1, 2023 (Full-time and Associated Faculty)</li> </ul>	January 13, 2023 When possible, submit fall of 2022
<b>Promotions (Mandatory Review, Early, and full Professor – all tracks) effective July 1, 2024</b>	
<ul style="list-style-type: none"> <li>DCOAP Reviews</li> </ul>	April 1, 2023 Earlier is better
<ul style="list-style-type: none"> <li>Notify OAA of all DCOAP approved recommendations</li> </ul>	April 1, 2023
<ul style="list-style-type: none"> <li>Extramural Consultant List submission</li> </ul>	May 26, 2023
<ul style="list-style-type: none"> <li>Extramural Consultant Reference Packet submission</li> </ul>	After list approval but no later than August
<b>Appointments</b>	
<ul style="list-style-type: none"> <li>Dossiers must be submitted to OAA 2-4 months prior to proposed effective date, depending on appointment type (see below).               <ul style="list-style-type: none"> <li>Assistant Professor Dossiers due to OAA a minimum of 2 months before proposed effective date</li> <li>Assistant rank appointment dossiers effective July 1, 2023 due to OAA</li> <li>Associate and Full Professor dossiers due to OAA on average 4-6 months before proposed effective date</li> </ul> </li> </ul>	April 1, 2023

## POLICIES / FORMS

PSOM recently revised or implemented the below policies and e-forms. Please take some time to familiarize yourself with each and share with relevant leadership/administrators. We will continue our efforts to convert existing forms to fillable e-documents and help streamline workflows and heighten efficiencies where possible.

### Policies

- [Penn Medicine Policy: Conflict of Interest and Commitment](#)
- [Extramural Activity Reporting Process FAQs](#)  
[CPUP Members Paid Time Off and Leave](#)
- [Faculty Media Policy](#)
- [Managing Faculty Family Relationships](#)

### e-Forms

- [Leave of Absence Application](#)
- [Reduction in Duties Request Form](#)
- [Reduction in Duties \(in Anticipation of Retirement\)](#)

## SEARCHES

The Perelman School of Medicine Plan for Diversity and Inclusion affirms their commitment to a diverse faculty. Please ensure that your departmental Diversity Search Advisors are working with you, your Vice Chairs, and the search committees from the initial stages of the search process through completion to “generate the broadest and strongest possible candidate pool” and to ensure that every qualified candidate is given equal effort and consideration. Please see the [Diversity Search Advisor Resources](#).

### *Key Takeaways*

- A **national** search is **required** for candidates in the tenure, clinician-educator and research tracks.
  - The **approved** advertisement must be posted and published for at least three (3) months).
- A **limited** search is required for candidates in the academic clinician track.
  - The **approved** advertisement must be posted and published for at least one (1) month.
- The search committee membership must be diverse and should include underrepresented minorities (URM) and women. Search committee resources are available on our website.
  - A PSOM Diversity Search Advisor must review and approve the search before the recommendation of a faculty appointment is submitted to the PSOM COAP/PSC.
  - ***If the search process, including the composition of the search committee, is determined to be non-compliant with University AA/EEO policies, the recommendation for appointment will not be processed.*** It is important that you collaborate with and support your departmental Diversity Search Advisor in their efforts to increase outreach activities and work with search committees and others during the recruitment process to promote diversity goals and ensure compliance.
- Information on the Provost’s **Faculty Opportunity Fund** is also available on our [website](#). The fund provides salary support for the recruitment of women and underrepresented minorities (URM) faculty in the tenure and clinician-educator tracks. Should you have any questions, please contact Kimberly Haebel in the OAA at [khaebel@upenn.edu](mailto:khaebel@upenn.edu).

## RECRUITMENT/APPOINTMENT

To the extent possible, preparation of each dossier component should begin immediately after the Request to Recruit (RTR) is approved.

- Retroactive start dates will be rare and should not be expected. For exceptional cases, contact OAA as early as possible for consideration.
- Search and RTR must both be approved before dossier submission.
- Faculty pending should be rare, if ever, and only for those appointment types that require intensive processing such as PIK appointments, joint appointments, or non-PIK appointments with tenure or at the full or associate professor rank in the Clinician-Educator or Research tracks. Only in the most exceptional circumstances should appointments at the Assistant Professor rank (all tracks and categories) be retroactive, regardless of the benefits implications. Please keep standard processing times in mind when negotiating appointment start dates.

## RECOMMENDATIONS FOR REAPPOINTMENT/DEADLINES

*Recommendations for 2023 reappointments must be completed by departmental COAPs and submitted to OAA no later than January 13, 2023.*

### Important Track Change Considerations

- Departments must also review potential considerations for changes in track. In general, all changes in track must be completed by the year prior to the second (or final) reappointment. There **must be** documentation of a departmental COAP vote for a change in track by June 30<sup>th</sup> of the year **before** the final year of a faculty member's second 3-year appointment. (NOTE: approved extensions will adjust this schedule)
  - For example, if the end date of the faculty member's first reappointment term is June 30, 2024, the departmental COAP must vote on a proposed change in track no later than June 30, 2023.
  - **The exception is the Research Track.** Such decisions must be made before the end of their first appointment term. (see details below)
- Therefore, it is a good idea **to look ahead now to AY 2024**, identify reappointment candidates and put them on a departmental agenda for discussion.

### Key Takeaways:

- All changes in track are processed as new appointments.
- If the change in track is to the standing faculty (tenure or CE), a national search is required.
- If the change in track **is from the research track to the tenure track**, the probationary period will be shortened (from a 10 year probationary period to a 7 year probationary period). \*If the change in track is from the research track to the tenure track, the process **must be completed** by the end of the first appointment (generally by year 3, not including extensions).
- Please review the status of all assistant professors who are in their second 3-year appointment.

## RECOMMENDATIONS FOR PROMOTION EFFECTIVE 7/1/23—DEADLINES

For those candidates in the tenure, CE or research tracks whose mandatory review year is 2022-23, the deadline for submission of extramural consultant packets was 8/1/22. These dossiers should be ready for submission to OAA now or in the near future.

### *Helpful Reminders*

- The same deadlines apply for recommendations for promotion candidates in those tracks who are not in their terminal year; i.e., early promotions.
- Compliance with the deadlines will increase the chances for completion of the promotion review process during the current academic year.
- Reviews that are not completed in the current academic year will be deferred to FY24 and **will not be retroactive**.
- ***The Provost will review recommendations for promotion to Associate Professor with tenure and promotion to Associate Professor in CE and Research Tracks one time only.***

### *The Provost has established the following PSC review deadlines:*

- Promotions to Professor in the tenure, CE, or research tracks must be reviewed by 2/12/23.
  - Recommendations received after that date may be deferred for consideration until the beginning of the next academic year.
- Promotions to Associate Professor in the tenure, CE, or research tracks must be reviewed by 4/30/23.
  - ***The Provost will not review candidates for promotion in their terminal year.***
- Promotions in the AC track are reviewed by the Provost's Staff Conference subcommittee. The same schedule should be followed.

## RECOMMENDATIONS FOR PROMOTION EFFECTIVE 7/1/24—DEADLINES

### *Key Takeaways*

- Departmental COAP reviews for mandatory and early promotion to associate professor in tenure, CE, and research tracks **must be completed by 4/1/23**.
  - The same schedule should be applied to reviews for promotion to full professor and to promotions in the AC track.
- Candidates for promotion should be notified of DCOAP decision, preferably in writing, as soon as possible following the meeting, to allow sufficient time to prepare the extramural consultant list (T, CE, R); the documentation for the clinical evaluations and peer references (AC).
- Names of DCOAP approved candidates must be forwarded to OAA.

### *Helpful Reminders*

- You can access information on your faculty through <https://my.med.upenn.edu/>. To review the mandatory review list (for promotion to Associate Professor on the tenure, CE, and research tracks), click on the Department Dashboard and click on "Current Faculty Counts."
- Faculty in the AC track will not be included in the mandatory review list. Nor will potential full Professor or "early" considerations.
- Your faculty coordinator will work with you to keep you informed of all deadlines.
- *Promotions to Professor: Departmental COAPs are strongly encouraged to review the CVs of all current associate professors on an annual basis for consideration for promotion.*

## TERMINAL YEAR LETTERS

Templates for terminal year letters are provided by the Provost and must be used in their prescribed format. The Office of Academic Affairs will provide the appropriate template for this purpose. The signed letter must be emailed to Vivian Fisher in the OAA at [fisherv@upenn.edu](mailto:fisherv@upenn.edu) **as soon as it is signed and no later than 5/31 of the mandatory review year**. For all other faculty who will be receiving a terminal year letter, the notification must comply with Provost policies and procedures regarding termination.

Remember your Faculty Coordinator/Administrator is there to support and guide you through the various processes. Should you have any process questions, please feel free to contact your Faculty Coordinator/Administrator. If you have questions related to this communication, please feel free to contact our office.

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