

## Standing Faculty

# Promotion to Associate Professor

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# Topics for Review and Discussion

- Introductory Principles
- Probationary Period Timelines & Extensions
- COAP Guidelines for Promotion to Associate Professor, CE & Tenure
- Extramural Consultants
- Education Effort and Evaluation
- Dossier & Promotion Process
- Resources & Support

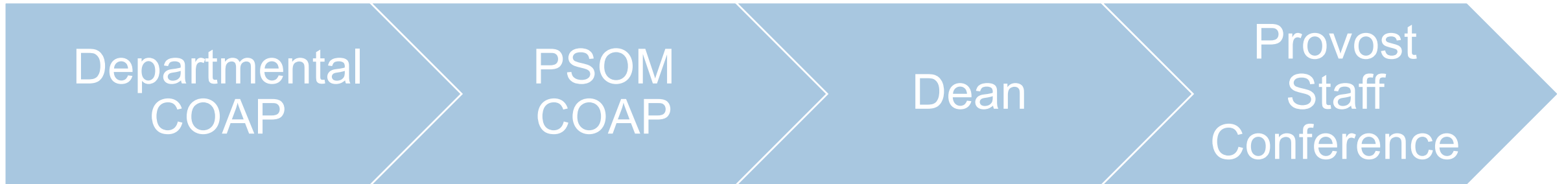
# Promotion Statement

The goal of promotion is the recruitment and retention of a distinguished faculty by stressing intellectual leadership as the chief criterion. **Promotion is not a recognition of length of service, but rather of outstanding contributions.** Candidates for promotion must be mature scholars, excellent clinicians and excellent teachers (as applicable to Academic Plan) whose:

- achievements have won exceptional recognition, both by the candidate's faculty colleagues and by those outside the University
- presence on the faculty enhances the prestige of the University

# Review Process

*Promotion begins in the department*



# Probationary Timelines



## Key Question

**What is your probationary period  
timeline?**

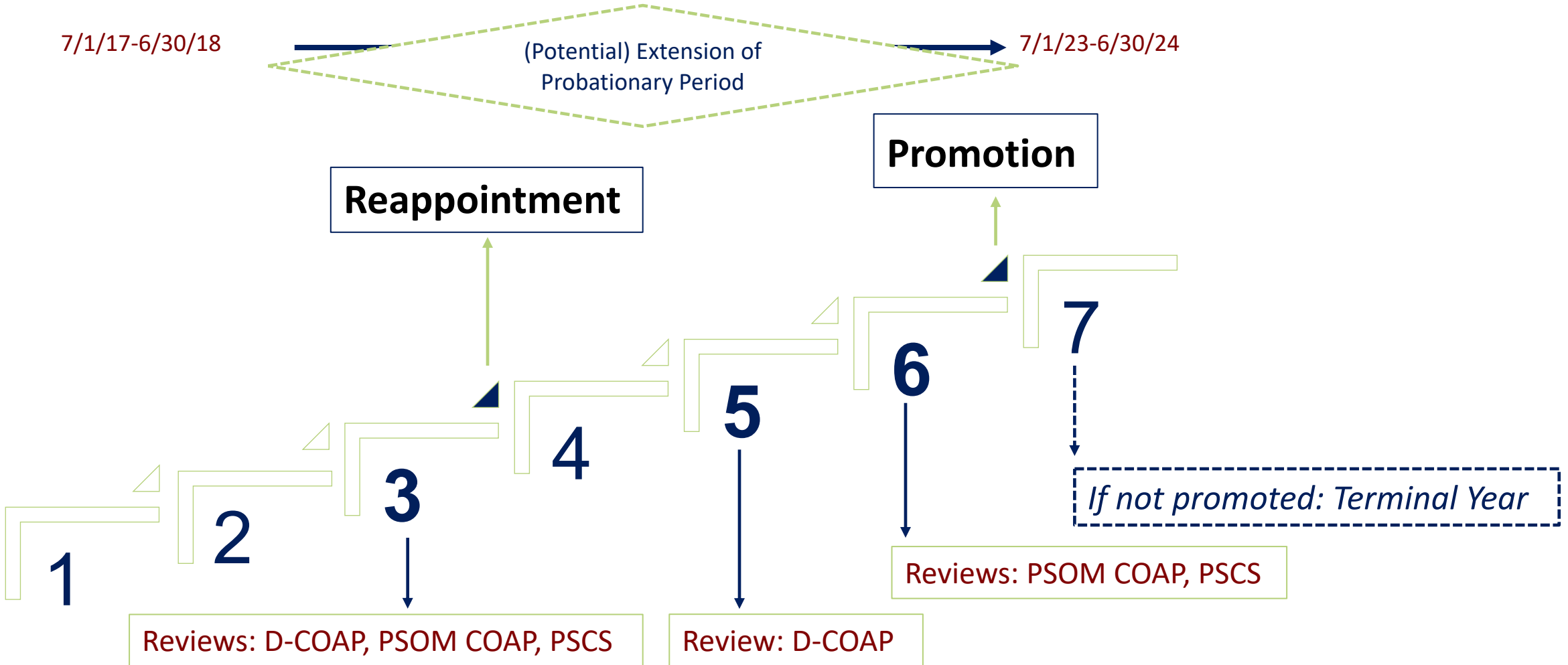
# Assistant to Associate Professor

Tenure-Basic Scientist: 7 years

7/1/17-6/30/18

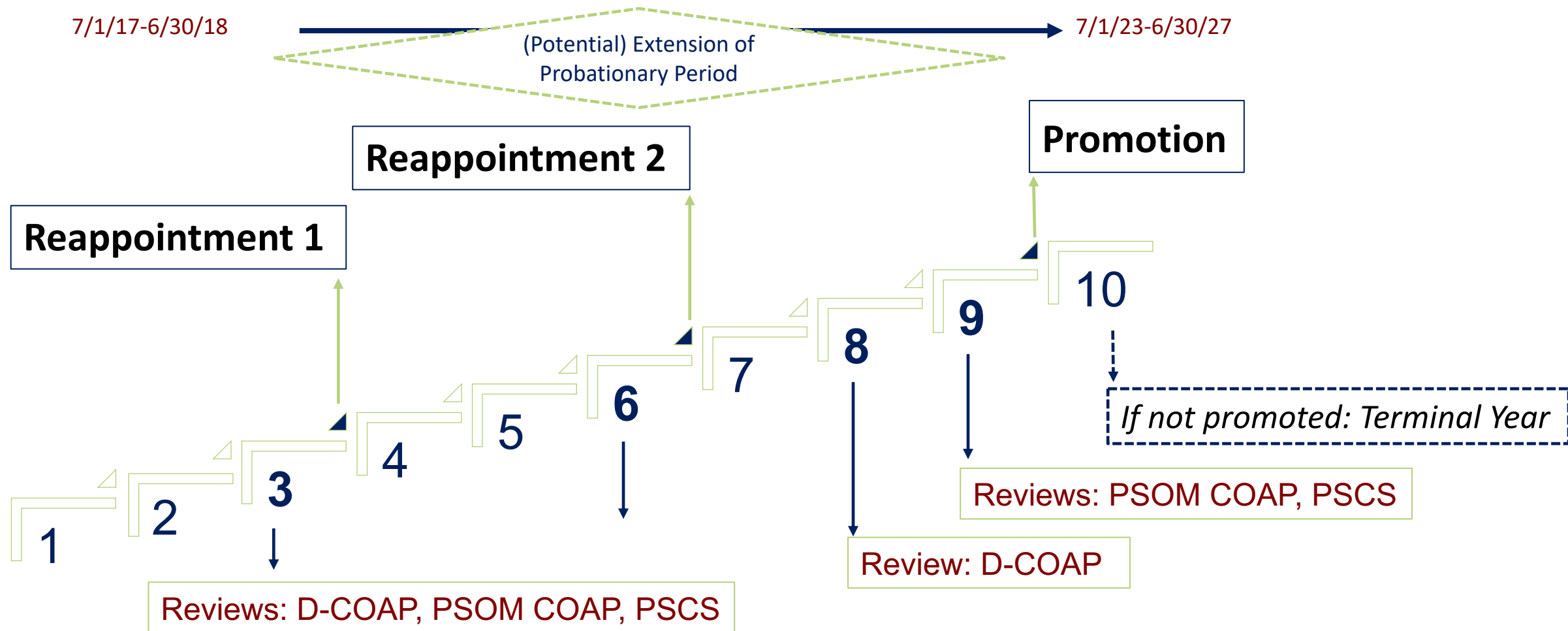
7/1/23-6/30/24

(Potential) Extension of Probationary Period



# Assistant to Associate Professor

CE, Tenure Physician-Scientist: 10 Years



# Extensions



## Key Questions

**Eligibility?**  
**Timeline Consequences?**  
**Process?**



# Extension of Probationary Period

## ▶ Eligible Events (Examples)

- Birth and adoption of a child
- Serious medical condition of faculty member or family member/domestic partner
- Catastrophic event

## ▶ Conditions (Examples)

- One year at a time, maximum 3 years
- Applies to current appointment cycle
- **Requires *timely* written notification to Chair, Dean, Provost**

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## Key Resource: Extensions

[med.upenn.edu/oaa/faculty-affairs/extensions.html](http://med.upenn.edu/oaa/faculty-affairs/extensions.html)

# FAQs About Extensions

- ▶ If I am eligible for an Extension, should I apply for one?
- ▶ How many Extensions can I take?
- ▶ How long is an Extension?
- ▶ If I am granted an Extension, and I decide I'm not going to need it after all, what do I do?
  - Can I still be proposed by my chair for promotion in my original mandatory review year?
  - Will this be considered as going up early?

# Extensions Key Concepts Take Away

- ▶ The existence of an Extension does not preclude your department/chair for proposing you for promotion on your initial timeline.
- ▶ If you apply for and are granted an Extension, and then with your chair determines that you are ready to be proposed on your original timeline, your chair can do so.
  - If this is the case, the Chair's Rec letter will include a brief statement that clarifies why your review date was amended, and then reverted back to the original date. This is a minor and common administrative step.

# COAP Guidelines



**What is COAP looking for?**

# From COAP Guidelines: All Faculty Tracks

## Institutional Citizenship & Professionalism

- ▶ ***Institutional Citizenship*** includes service relevant to a faculty member's academic activities and to the missions of the school and University. It encompasses efforts related to mentoring, professionalism, inclusion, diversity and health equity.
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## Key Resource: COAP Guidelines

[med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf](https://med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf)

# From COAP Guidelines: All Faculty Tracks

## Institutional Citizenship & Professionalism

- ▶ **Professionalism** refers to 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.
  - faculty promotion dossiers must include a chair's attestation to the sustained professionalism of a faculty candidate
  - Persistent professionalism concerns will be carefully considered during the evaluation process

# COAP Guidelines

## **Promotion to Associate Professor, CE Track [1/2]**

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, see below) 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.

# COAP Guidelines

## Promotion to Associate Professor, CE Track [2/2]

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, see below.

### Key Resource: COAP Guidelines

[med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf](https://med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf)



# COAP Guidelines

## Promotion to Associate Professor, Tenure Track [1/2]

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.

# COAP Guidelines

## Promotion to Associate Professor, Tenure Track [2/2]

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, see below.) In addition, there should be records of teaching excellence, professionalism and institutional citizenship as well as clinical excellence for those involved in clinical care.

### **Key Resource: COAP Guidelines**

[med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf](http://med.upenn.edu/oaa/assets/user-content/documents/career-development/tracks/coapguidelines.pdf)

# Scholarly Impact

Fundamental to promotion in the Standing Faculty and Research track is evidence of continuous scholarly productivity and an evaluation of the totality of the impact of a candidate's body of work.

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 of work
- ▶ 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

# 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

- Academic Plan
- Extramural Consultant Letters
- Intramural Letters (optional)
- Educational Portfolio
- FEDS CV & Grant Pages
- Chair's Rec
- Personal Statement



## The Dossier

# Your Academic Plan

The Academic Plan, which is part of the candidate's offer letter ***and should be reviewed and updated each year***, is a break-down of professional responsibilities by percent effort.

- Identifies an official mentor
- Is designed with input from the faculty member, the mentor, the division chief and the department chair
- Outlines activities related to administration, clinical services, research, and teaching (as relevant)

**ACADEMIC PLAN FOR** \_\_\_\_\_

**Proposed Title:** \_\_\_\_\_

(New Appointment/Reappointment/Promotion)

**Proposed Track:** \_\_\_\_\_

**Proposed Start Date:** \_\_\_\_\_

**Mentor:** \_\_\_\_\_

**Breakdown of duties:**    % Research  
                                  % Clinical Service  
                                  % Teaching  
                                  % Administration

**Research:**

# Extramural Consultant Reviews

Extramural Consultants provide an **unbiased** and **impartial** assessment of a candidate's scholarship, reputation and standing in their specific areas of expertise. The Provost's Office provides university guidelines for Extramural Consultant qualifications. Extramural Consultants are asked to ...

1. Evaluate the scope and significance of the candidate's scholarly achievements and their importance within the general discipline
2. Comment upon the degree of recognition achieved in the candidate's discipline, noting his/her most distinctive contributions
3. Rank the candidate relative to the leading scholars in the same field of study and at a comparable level of professional development
4. Evaluate the candidate's likelihood of achieving a similar faculty position and rank at the leading institutions in this discipline
5. Provide any information or insight on the candidate's skill and effectiveness
  - as a teacher and communicator (Tenure)
  - as a clinician, teacher and communicator (CE)

# Extramural Consultants Receive

- CV in the PSOM format
- Grants Pages
- Personal Statement
- Selected reprints (3-4 max)



# Extramural Consultant Selection

- **No contact** in advance to determine
  - if the consultant has prior knowledge of the candidate
  - if the consultant is willing to provide a positive evaluation of the candidate
- If the candidate is part of multi-site studies and large research projects with a field colleague, and there is no actual collaboration, this field colleague **may** be proposed as a potential Extramural Consultant
- One collaborator is allowed in each list (the department's and the candidate's)
- Consultant input should not be questionable (i.e., include information seems biased or partial) or questioning (i.e., question why he/she was selected, for example, consultants working in very different disciplines from candidate)
- It is not recommended that the same consultant be used for numerous candidates, especially in the same year
- Emeritus faculty consultants who are no longer be active and/or current in the field may not be interested in writing

# Extramural Consultants List Review

- List of 14 must be reviewed and approved by PSOM COAP, Dean, and Provost
  - 3 selected by candidate
  - 11 selected by department with no input from the candidate
- Extramural Consultants must be
  - from peer institutions or institutions known for excellent achievement in the specific field.
  - at candidates proposed rank or higher
    - (even for those being proposed for Associate Professor, no more than two Extramural Consultants should be Associate Professors)

# FAQs About Extramural Consultants

- ▶ Can a former mentor from a different institution be on my list?
- ▶ What if I've worked with everyone in my area?/I have a very small specialty area?
- ▶ What if the best possible extramural consultant reviewers for my specialty area are faculty at non-peer institutions?
- ▶ What if a reviewer does not respond to the request? Does that reflect poorly on me?
- ▶ What do they receive?
- ▶ How long do they have to complete their review?

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## Key Resource: Extramural Consultants

[med.upenn.edu/oaa/faculty-affairs/extramural-consultants.html](http://med.upenn.edu/oaa/faculty-affairs/extramural-consultants.html)

# Education Impact

Promotion in the Standing Faculty (CE and Tenure) and Academic Clinician track requires evidence of high-quality engagement and excellence in education that may be demonstrated as follows (examples):

- Teaching in courses, clinical skills programs, professional development programs, seminars, tutorials, grand rounds etc.
- Innovation in local classroom teaching methods or novel application of existing teaching methods
- Developing educational products such as curriculum, assessment tools or programs, policy statements, technologies such as simulation etc.
- Leading or substantive participation in committees related to education
- Involvement in local mentoring programs, particularly outreach programs related to inclusion and diversity
- Participation in CME, research and inter-professional meetings
- Invited lectures

# What does high quality engagement look like?

- ▶ Engaging with learners in any of the defined Education Categories
- ▶ Leadership roles in teaching or educational programs
- ▶ Innovation in local classroom teaching methods or novel application of existing teaching methods
- ▶ Developing educational products such as curriculum, assessment tools or programs, policy statements, technologies such as simulation etc.
- ▶ Leading or substantive participation in committees related to education
- ▶ Involvement in local mentoring programs, particularly outreach programs related to inclusion and diversity, and those that promote health equity
- ▶ Participation in CME, research, and inter-professional meetings
- ▶ Participation in the development of scholarly products related to education

# How is excellence in education demonstrated?

- ▶ Internal and external evaluations
- ▶ Outcomes of successful mentorship such as scholarly products, regional and national presentations by trainees, trainee career trajectory, etc.
- ▶ Course or program evaluations that reflect educational leadership roles
- ▶ Awards for teaching, mentoring, contributions and/or innovation related to education.
- ▶ Invited lectures to disseminate new knowledge related to successful education programs, interventions, curricula that have been generated by the candidate.
- ▶ Funding or scholarship specifically related to education.
- ▶ National leadership roles in education/training committees and professional societies

# Educational Portfolio – Provided by the Candidate

- ▶ PSOM Education Activities Workbook to document credits earned over **the previous 3 years**
- ▶ **Education Impact** Statement (1 page) that identifies and describes impact made in most relevant Education Category/ies in order of overall impact. For each category addressed, include a
  - description of high-quality engagement
  - brief reflection on how one has incorporated feedback from teaching evaluations to evolve as an educator
  - description of growth over career in each category identified
  - for promotion to Professor, specific examples demonstrating impact in categories identified (locally, nationally, and/or internationally) must be provided

# Educational Portfolio – Provided by the Education Officer

- ▶ Education Officer Report, which provides an assessment of the overall engagement and impact of a faculty member across three sections:
- ▶ Description of high-quality engagement. This must include a review of the PSOM Education Activities Workbook, and an attestation that the faculty member is in compliance with the required education effort (credits) per year.
- ▶ Demonstration of Education Impact
  - review of any available quantitative or qualitative data. EOs should interpret and provide useful context for data, including possible mitigating factors for low learner evaluation scores, and critical feedback in comments. Any coaching plans and subsequent improvement should also be addressed.
  - other impact metrics from lists above (high-quality engagement and excellence in education), and at EOs discretion, other applicable metrics as well



# Educational Portfolio – Provided by the Education Officer (cont)

- ▶ Summary Statement of the education engagement and impact
- ▶ Internal Evaluation Data\*\* (i.e., TED, Blue etc.). For candidates with significant, exemplary internal teaching data, promotion could be considered on the basis of impact in the Teaching category alone. If the internal teaching data is less than exemplary, an additional category of education should be included for review. If no internal teaching data is available, a candidate will need to demonstrate trajectory and impact in at least 2 other Education Categories.
- ▶ EOs may opt to consult additional materials to inform their reports, For example
  - letters from BGS graduate group chairs
  - letters from former learners

# Best Practices as an Educator

- Know your Education Officer
- Keep your Teaching Activities Workbook handy and update it as you go
- Check your teaching evaluations when they are released, twice a year
  - No TED data? Reach out to your Faculty Coordinator to ensure you are in the “systems” accurately and your learners are being prompted to evaluate you
  - If anything looks incorrect, reach out to Academic Programs
- Collect and save any evaluations you receive from talks, CME, etc.

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## Key Resource: Teaching

[med.upenn.edu/oaa/faculty-career-development/teaching/](https://med.upenn.edu/oaa/faculty-career-development/teaching/)

# CV & Bib Requirements

- CVs should be submitted in the PSOM required format only
- CVs can be updated throughout the promotion process until PSOM COAP review
- Bib Categories
  - Must be categorized by publication type according to CV Guidelines and Bibliography definitions.
  - List only published or “in press”; not “submitted” or “in review”
  - List all authors, not “et al”

# Grants Pages

- Identify term of award as past, current, pending
- Provide % effort *as funded*
- Use the 'comments' to report important additional information:
  - Principal investigator (if not you)
  - Results of initial review—score, percentile
  - No cost extension
- Provide updates until the last possible moment

# Chair's Recommendation Letter

- ▶ Background
- ▶ Research
  - Description of candidate's impact and upward trajectory of achievements in the field
  - note specific peer-reviewed papers, grants, awards, contributions to team science, patents, external talks, study sections, editorial leadership roles etc
- ▶ Teaching and Mentoring: summary of activities, innovations, products, leadership roles, mentoring impact
- ▶ Clinical Activities: description of impact, contributions to development of innovative approaches to diagnosis, treatment or prevention of disease; referrals, awards, roles in national clinical societies, programmatic leadership etc.
- ▶ Distinguishing Contributions (local, national, international): substantive contributions in inclusion, diversity, equity, community-based health or wellbeing programs; departmental, school, and university leadership roles
- ▶ Professionalism and Citizenship
- ▶ Mitigating Circumstances (when applicable)

# Personal Statement: 1-2 Pages

The purpose of the personal statement is to help others understand your career path and your most significant achievements in an academic narrative. Information should complement, not repeat the CV.

- Opening paragraph characterizes your career path; what led to your focus.
- Top 3 – 5 publications since your appointment or promotion
  - Your role in each of the publications
  - Impact on the field
- Contributions and achievements in research, teaching, clinical activities, service and administration, as appropriate
- Projects in progress
- Overall goals
- Plans to remedy any shortfalls or problem areas

# Optional 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.**



## Resources

Office of Academic Affairs  
Website

[med.upenn.edu/oaa/](https://med.upenn.edu/oaa/)

With sections on ...  
Academic Review  
Employment Status  
Career Development  
Wellness for You and Your  
Family

# Who Will Support Me in This?

## Department

- *Faculty Coordinators*
- Education Officers
- Vice Chairs of Faculty Affairs
- Vice Chairs of Faculty Development
- Vice Chairs of Inclusion, Diversity, & Equity
  - Professionalism Representatives

## School

- Office of Academic Affairs
- Assistant Dean of Faculty Affairs
- Associate Dean of Faculty Professional Development



