



Operational Guidelines for the Perelman School of Medicine Departmental Committees on Appointments and Promotions

Effective July 1, 2021
Updated April 7, 2023

A. Purpose

In accord with the Faculty Handbook, this document provides uniform operational guidelines for the PSOM Departments and their Departmental Committees on Appointments and Promotions (dCOAP). dCOAPs review and recommend all initial faculty appointments to ensure that the qualifications and experience of each candidate align with the faculty track and rank for which the candidate is being recommended, and review and vote on all faculty appointments, reappointments, voting secondary appointments, and all promotions.

The Chair of the dCOAP must make every effort to ensure compliance with the policies and procedures of the University of Pennsylvania and the Perelman School of Medicine relating to faculty appointments, reappointments, and promotions, including timely filing requirements. The Chair of the PSOM COAP meets annually, and as necessary, with the dCOAP Chairs to review administrative matters related to faculty appointments, reappointments and promotions.

All dCOAP business is confidential.

B. Role of the Department Chair

The Department Chair has the responsibility, after consultation with appropriate members of the department (dCOAP), for securing and retaining faculty members of high caliber and recommending those to whom tenure should be granted and to whom promotions should be awarded. The Department chair appoints all members of the dCOAP. The Department Chair shall not participate in dCOAP meetings. Department chairs should meet in advance with the dCOAP chair and Faculty Coordinator to discuss the dCOAP committee agenda. The draft Chair Recommendation letters should contain any chair level concerns that can be discussed at the dCOAP meetings. Following the dCOAP meeting, the summary paragraph in the Chair's recommendation letter shall be completed and signed by the chair reflecting the final recommendation of the candidate.

C. Membership

- Departmental COAP Chair
 - Is appointed by the Department Chair and cannot be the Department Chair.
 - Whenever possible, should be a Professor with tenure in the Perelman School of Medicine.

- Should have a 3-year term that can be renewable.
- Generally, and if not, in consultation with the Office of Academic Affairs, should not hold a leadership role such as Vice Chair, Division Chief, etc. In departments with fewer than 10 standing faculty professors, Departmental Vice Chairs can serve as the dCOAP Chair.
- Committee Members
 - Are appointed by the Department Chair in consultation with the dCOAP Chair.
 - The Committee shall comprise at least three faculty members in addition to the dCOAP chair qualified to vote on the faculty candidate under consideration. For smaller departments, in order to meet the PSOM voting requirements, it may be necessary to invite qualified senior tenure or clinician-educator from other departments to become regular voting members of the dCOAP. Such faculty would be recommended by the department for secondary appointments with voting rights.
 - The Education Officer shall provide reports of teaching for candidates with teaching responsibilities. EO's may have formal dossier review and voting responsibilities.
 - The Vice Chairs of Faculty (unless acting as dCOAP chair), shall be ex officio members.
 - If the department has Academic Clinicians, there shall be a senior AC member appointed to the dCOAP.
 - If the department has Research Track faculty, consideration should be given for senior representation on the dCOAP.
 - Retired/emeritus faculty shall not be members.
- COAP members shall have 3-year terms with the option to renew. By July 1 annually, the Department Chair will submit a list of the Departmental COAP members (including rank and track) to the Office of Academic Affairs.
- All members must sign a confidentiality agreement at the beginning of their terms.
- All members must participate annually in development programs offered by Academic Affairs to remain current on policies and procedures.

D. Functions of the Departmental Committee on Appointments and Promotions

- The Committee shall hold scheduled meetings at a frequency dictated by need.
- The dCOAP reviews and recommends all initial faculty appointments to ensure that the qualifications and experience of each candidate align with the faculty track and rank for which the candidate is being recommended
- The dCOAP reviews and votes on all faculty appointments, reappointments, voting secondary appointments, and all promotions.
- The following materials, as applicable by track and action type, shall be included in a dossier for dCOAP review:
 - Personal statement
 - Up-to-date CV
 - Grants pages, if applicable
 - Education Portfolio
 - Academic Plan
 - DRAFT Chair's Recommendation without the summary paragraph. Following the dCOAP discussion, chairs or chairs designees shall complete the Chair's Recommendation based on the case discussion.

- All elements in a dossier are confidential. If material is circulated at an in person meeting, all material must be returned and destroyed at the conclusion of the meeting. If material is distributed electronically, it must not be further disseminated.
- 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.
- Official note taking, if necessary, shall be performed only by the dCOAP chair. Such notes shall be retained for the for a period of 7 years after the individual has left the institution.
- dCOAP agendas should be recorded, with the date of the meeting and vote outcomes for each case and maintained in confidentially held departmental files.
- The Department Chair oversees the preparation of appointment, reappointment and promotion dossiers for all faculty members in the Department and is responsible for meeting all deadlines.

E. Voting Procedure

- dCOAP members in the standing faculty are eligible to vote on faculty actions at similar rank or lower.
- Vice Chairs for Faculty may not vote.
- dCOAP Chairs shall only vote if there is a tie. In departments where the Vice Chair for Faculty is serving as the dCOAP Chair, the VCF shall vote if there is a tie.
- Committee members with a self-perceived conflict of interest for a given candidate should recuse themselves from the meeting during discussion and voting.
- Additional clarification on voting rules:
 - Tenured faculty can vote on decisions involving the granting of tenure and all other faculty appointments and promotions.
 - Clinician-Educator faculty may vote on all faculty appointment and promotions with the exception of votes granting tenure.
 - Academic Clinician and Research track faculty may present cases for their tracks and participate in the discussion of any case on the agenda. AC members may vote on AC actions.
- dCOAP votes are required for all appointments, reappointments, and promotions to the standing faculty, standing faculty CE, and associated faculty at the level of assistant professor and above.
- A majority favorable vote of the dCOAP is required for a dossier to be transmitted to the Perelman School of Medicine COAP.
- Cases resulting in a majority of negative votes are considered to be turned down (not approved) by dCOAP and will not be submitted to PSOM COAP. Such decisions are considered final. Department Chairs cannot override a dCOAP decision to not advance a case. Cases that have been turned down can be reconsidered only in the event of errors in process and should be discussed with the Senior Vice Dean for Academic Affairs. Re-reviews on merit shall not occur.
- A minimum of three faculty members, appropriate for the vote, are required to vote on any proposed action.
- 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 the Department Chair.

F. Transmittal Statement to the Perelman School of Medicine

- Each departmental Dossier transmitted to the Perelman School of Medicine must have a letter of recommendation written (Chair's Recommendation) either by the Department Chair or by the candidate's division chief or vice chair, as designated and co-signed by the Department Chair.
 - The letter must include the dCOAP vote and comments describing the possible reasons for negative votes.