Managing Promotions

This is a project & you are the project manager. There are a number of sub-component milestones & deadlines along the way and many people you will work with to complete the final Promotion Dossier.

Strategies for Success

MEET with your candidates

- Give them the applicable Guidelines/Criteria for their track
- Discuss process and all the components
- Make a plan (& set deadlines) together
- GOAL: Make sure they know what to expect & when you will focus on each piece
- Help get their "head in the game" by starting on Personal Statement
- Help schedule additional meetings with EO, Div. Chief & other key players
- If promotion to FULL, have process and requirements changed since their last review?

KNOW the team and what to expect

- Be prepared to work around schedules vacations, weeks "on service," grant deadlines etc.
 for candidate and key players (Chair/Division Chief, EO, Mentor, etc.).
- Who drafts which documents?
- Who will help with Consultant List?
- What is your "support" of each role? (e.g. What does EO need from you?)
- Know the temperament candidates and team members Quick/responsive or slow/distracted?

BREAK it down - separate work into manageable components for all involved



Customize

Create a shared

folder for each

samples etc.

candidate – upload

criteria, guidelines,

Promotion Checklist for each candidate & assess for status together. Review regularly & highlight current focus area.

- Explain the timelines Department COAPS have until April 1, 2024 to review candidates for the 2025
 Promotion Cohort. Following DCOAP review, you will work with your candidates through the summer and early fall of 2024 to finalize all components of their dossier.
- Assign specific tasks with short deadlines and give regular reminders and updates.
- Plan time not only for candidate to draft, but for you and others to complete YOUR part.
 - For example, Extramural Consultant lists are due to OAA by May 27, 2024. Work backwards from there to set internal deadlines.
- Set deadlines with entire cohort in mind consider volume AND outlook/temperament of candidates



Update! Update! Update!

Always be aware of "dated" material. Documents for the final dossier may be initially drafted 1 year to 18 months earlier! Along the way, for various components, you will need to review and update documents including the CV, Grants, Chair's Rec, Personal Statement, etc.

Managing Promotions - Personal Statements

Required for promotion & senior rank appointments to the AC, CE, Tenure & Research tracks

Set the candidate up for success before they start writing the Personal Statement. Help them understand how it is used, who sees it and how important it is in this process.

- This is the candidate's opportunity to help guide their review to clearly
 describe and emphasize their accomplishments so that all reviewers
 understand their career and its trajectory.
- Tells the unique story of a candidate, and helps reviewing bodies interpret other documentation (such as CV, Grants Pages, etc.)
- Encourage them to take enough time to write it; get started early
- Be brief no more than two pages. Focus on achievement, impact, and innovation.
- Personal Statement is included in the following stages/components of review
 - Departmental Committee on Appointments & Promotions (D-COAP)
 - o Extramural Consultants CE, Tenure & Research in packet provided to consultants
 - Perelman School of Medicine Committee on Appointments & Promotions (COAP)
 - o Dean's review
 - Provost review

Encourage and plan time for candidate to share drafts of their statement for feedback. Mentors and trusted colleagues may have valuable perspective, but feedback from faculty in other fields is useful in determining how clear the statement is to people outside the faculty member's specialty.

Resources

Provide relevant resources to candidates and encourage them to read before getting started. For AC faculty it is particularly important to stress the new criteria and Personal Statement guidelines, including AOC.

- Personal Statement Guidelines CE, Research and Tenure
- Personal Statement Guidelines AC

Current Criteria - These documents contain important information regarding current criteria for appointment and promotion, including what is assessed by PSOM COAP and markers of success for each track.

- PSOM COAP guidelines
- AC Promotion Guidelines

NOTE: The Personal Statement provided to Extramural Consultants should be the same Personal Statement submitted in the dossier. If there is a **significant** career development impactful to the case, an addendum can be included, rather than revising the statement. Recent developments and/or upcoming projects should be highlighted in the Chair's Rec.

Managing Promotions – CV and Grants

<u>CV</u>

The CV represents the faculty member's career history. Help them make it as professional and polished a document as possible. Be sure faculty not only add new information but also address information that should be updated, such as roles that have ended, title changes, full citations for publications previously identified as "epub ahead print," etc.

Proofread before submission. Refer to the CV Guidelines for detailed information.

- Consistency across dossier documentation roles/activities discussed in dossier documentation are on the cv and dates, titles, etc. are consistent
- Activities are in the correct category, e.g. home institution teaching activities incorrectly listed in the invited lectures section
- Recent roles/activities added and roles/activities that have ended have been updated
- Publications
 - o Is the citation complete & in the right category according to PSOM guidelines?
 - o Full citations are required author(s), title, journal, volume, issue, pages, year & month
 - Full list of authors no et al.
 - Review for duplicate entries
 - o Presentations of Abstracts should be noted as poster or oral
 - o Submitted or under review Publications cannot go on FEDS cv; accepted or in press can
 - o "E-pub ahead of print" should be indicated and full citation added when they go to print
 - Use the notes field to indicate publications that are "online-only". Many online epubs have an official citation. If a complete, standard citation is not used, a DOI or pubmed ID # should be included.
 - Notes field can be used to highlight an important fact about the publication, such as cover story, co-first authors, etc.

Accurate categorization of publications is imperative! Provide candidate a copy of CV Guidelines and encourage them to carefully review categorization of journal article based on "pub type." – see detailed Bibliography section. A search in PubMed can often help to identify pub type and provide complete citation information.

Publication Red Flags

Titles of publications sometimes provide flags that <u>MAY</u> indicate that a publication belongs in different section. While these flags are not always indicative of a miscategorized pub, when you see one it's your queue to look a little deeper. See below for some common flags for publications in the Research Publications: Peer Reviewed section.

- Case report; case series
- Review of the literature; proceedings; current reports
- Comment; letter
- A case of; in a patient; presenting as
- Recent advances in...; Current approaches in ...
- Very few pages or 1-2 authors

Managing Promotions – CV and Grants

Help with Proper Categorization of Bibliography

Pub Med

If a citation appears to be incomplete or the publication category is in question, use PubMed to help resolve the issue. PubMed contains official citation information, and for many publications it will also provide a Publication Type. <u>Access PubMed</u> via BioMed Library website: https://www.ncbi.nlm.nih.gov/pubmed?otool=upennlib.

Finding a publication in PubMed. There are many ways to search PubMed. Two of the most common ways for verifying information about a specific publication are below.

1) Cut and paste or type the full or partial article title into the main search bar



This will often identify the publication even when a full title is not used. Sometimes punctuation, such as hyphens, may interfere with the search, if so, you can remove the hyphenated word or punctuation and search again. Often this fixes the issue. Just be certain you select the correct publication from the populated list. If this method does not find the article, try the other method below.

- 2) Under Advanced Search
 - Start search with journal, author, etc.
 - Use Query box to add terms or keywords

Publication Type

Once you have found the publication you are looking for, Publication Type might be indicated in the right hand sidebar menu. Click on it to identify how PubMed categorizes the publication. This will help you to determine the correct category for the FEDS CV. Not all PubMed records contain a pub type field.

The bibliography definitions are helpful when discussing publication categories with faculty.



^{*}Note: Not all journals & articles can be found this way. Try Google if you cannot find the publication in PubMed.

Managing Promotions – CV and Grants

Grants Pages

- Consistency across dossier documentation compare against grants discussed in other dossier documentation
 - o Are the roles, dates, statuses, etc. consistent?
 - o Is a grant discussed in other documents but not represented on the grants pages
 - o Is it clear
- On the correct page according to dates Past, Present, Pending
- Grant category correct and NIH grants properly identified by type
- Are all columns complete?
- If 0% Effort or \$0 Annual Direct Cost require a brief explanation in the additional comments field
- Total percent effort on all current grants should not meet or exceed 100% must be no more than 99%
- Submitted grant applications should go on Pending pages. Use additional comments field to provide information about status
- If a pending grant has been scored, provide score in the notes. This is especially important if grant is still pending final award decision but start date of grant is no longer in the future.
- Check additional comments field for statuses that are out of date or inconsistent with other dossier documentation
- The research that ACs participate in must satisfy particular conditions (see Academic Plan). If the grant activity listed on the grants pages does not align with these conditions, the department should look more closely at the information to determine if there is an error or if the situation requires further investigation

Repeatedly check for updates. Immediately before submitting Consultant's Reference Packet materials and again before submitting final dossier to OAA, review for updates and request statuses.

Managing Promotions - Education Portfolio (EP)

*Required for promotion to Associate & full Professor AC, CE & Tenure tracks

Guidance on the process and document requirements can be found on the EP page of the OAA website. Here you will find additional resources, such as current templates, definitions of teaching credits, FAQs and more.

Your Role as Project Manager

- Understand the components of an EP, what is required for each document and available resources.
- Understand who is responsible for what in the department; there can be variation.
- Support and work with EO as needed.
- Meet with faculty to outline process and deadlines.
- Manage the flow of documentation between the team.
- Set timeline; keep team on track and follow up as deadlines approach.
- Act as a resource to faculty.
- Help identify and resolve issues with documentation before submission.
- Include complete EP in final dossier.

Tips on Setting & Managing Timelines

- The full EP needs to be included in the dossier during DCOAP review. This may change your department's long-held timelines for reviewing promotion candidates and working on their educational materials. Work with your EO and DCOAP Chair on understanding these changes and developing new timelines.
- EOs need time to assess each EP and finalize their EO Report. Work with them when developing deadlines.
- Is it a heavy year for promotions? Allow enough time for you and your EO to address all the cases. You may want to stagger or set an earlier deadline.
- Break the EP into small tasks with staggered due dates

Working with the Education Officer (EO)

- Work closely with your EO to understand how you can support them in this process.
- No two EOs handle EPs the same way. Get to understand their process and what they expect of you and the faculty member.
- How much time do they need?
- How polished/complete of a document do they expect to receive as a draft?
- Do they meet with the faculty member? If so, how does that meeting get set up? Can you assist?
- Low scores, professionalism concerns, or negative comments indicated in TED or other evaluation systems should be brought to the attention of the EO as early as possible in the promotion process, so they can assess the situation. EOs may wish to discuss professionalism concerns with their departmental Professionalism Representative.
- Get to know your EO! Observe opportunities to improve processes and better facilitate what is needed.

Initial Meeting with Faculty

Identify ways to get the best results from individual faculty members. If they are going through the process for the first time they may need extra guidance. If they have gone through it before, be sure you they understand recent changes, new templates, changes in criteria, etc.

Meetings

- Review process.
- Be clear about your role and let them know you are there for them as a resource.
- Provide them with the most recent templates and resources. Be sure to direct their attention to the <u>Defining</u>
 and <u>Quantifying Teaching and Educational Effort</u> Defining and Quantifying Teaching and Educational Effort
 document, which outlines the current education categories.
- They may have some items that are already partially or fully completed. Determine the status of each item and identify any next steps for the faculty member. See if they have questions.
 - Teaching Workbook Is it up to date? Is it the correct format? Do they have any questions?
 - o Impact Statement
 - Evaluations and data
 - Does the faculty member teach in venues not typically captured in TED i.e. CME, teaching in other Penn Centers/Schools, other external evals? If so, do they have alternative evaluations/data or does it need to be pursued?
 - You can help the candidate by following up on this data while the candidate focuses on completing the workbook, education impact statement, and draft EO letter.
 - Check with Residency & Program Coordinators to see if they hold any additional data.
 - Lack of data? If so, consider obtaining letters from recent learners, course directors, etc.
 - EO Report: Be sure the candidate is clear on the goals and expectations for the draft if they are asked to initiate first draft.

Process by which PSOM obtains an unbiased and impartial assessment of a candidate's scholarship, reputation and standing in a specific field, *not* a personal reference. Personal and close professional relationships not permitted. Department selects 11 primary Consultants, 4 Alternate Consultants and Candidate names up to 3. All responses are confidential to both the Candidate and Department.

Click here for Consultant Guidelines

Once the list is approved, PSOM COAP, not the department, oversees the request/receipt of the letters.

Be prepared with more than the required minimum of proposed names! It can take A LONG TIME for the School to receive enough letters to move a case forward (minimum of 6 letters from consultants proposed by the department). PSOM COAP will send reminder messages, and will eventually contact approved Alternates if needed, but if enough responses are not received, you will be contacted to submit an additional list.

Tips for facilitating the process:

- Familiarize yourself with the data needed for each Consultant record review in application.
- Know who is involved with proposing names & who will make final decision/approve list?
- Use <u>Consultant Template</u> to collect information for proposed names (cut & paste into application).
- Give all participants the <u>Guidelines</u> to ensure understanding of list requirements.
- Be prepared to "vet" the proposed list some will likely not qualify based on the guidelines. Look out for: too many co-authors, too many from the same institution, too many Associate Professors, too many international institutions, etc.
- When doing Qualifications research break up search & data entry.
 - If you can't find enough information to substantiate the Consultant's national or international reputation in a 10-15 minute Google search, STOP and ask for help.

ADDITIONAL GUIDANCE for Proposed Consultant List

- **Qualifications Section** requires substantial explanation to demonstrate the consultant's current international/national reputation, contributions to the field, etc.
- "Non-peer" and International institutions (not in the top 30 of the <u>US News & World Report Ranking</u>) require statement of "additional justification"
 - o Focus on reputation of Consultant, not the institution.
 - Substantiate claims of recognition based on something specific. (ex. "Dr. X is inter/nationally recognized *for making advances* in_____.")
- Field Specialty should be specific e.g. Abdominal Interventional Radiology NOT Radiology
- Position Verification URL MUST be from the Academic Institution granting faculty appointment, not an affiliated health system
- PROOFREAD AND CONFIRM:
 - Fmail address
 - Proper name spelling throughout all fields (last name, email, qualifications)
 - Do a "search and find" on the CV for the last name of each consultant to find all co-authorships
 - Verify academic title/rank and institution

- International institutions should be kept to a minimum, preferably no more than 2
- If the consultant/candidate trained the other (residency/fellowship), the relationship is too close.
- Relationships such as research mentor and thesis advisor are okay for the candidate, not the department list.
- Not all awards establish a national reputation (ex. home institution awards or travel awards during post-doc do not demonstrate current national reputation)
- It is expected that candidates and consultants by virtue of both being "tops" in their field will interact professionally at meetings/committees etc. this is ok & does not need to be disclosed.
- Must disclose time candidate spent at Consultant's institutions and acknowledge any overlap.

Qualifications Section - Doing RESEARCH:

The qualifications section must establish the reputation and the impact of consultant's contributions to the field. Additionally, identify leadership roles, awards, discoveries etc.

- Check home institution faculty/lab page. Check website for "in the news" sections.
- Use keyword searches: Google combinations of faculty name + (CV, Society, Editor, Board, Committee, Award, Keynote/speaker) can sometimes uncover a thorough bio of the speaker.

Weak example: "Dr. Kopp is the program director of the Regional Anesthesia Fellowship Program at the Mayo Clinic. She is also the Chair for the regional practice at Mayo Clinic Hospitals in Rochester, MN. After receiving a BA in Chemistry from St. Olaf College, Dr. Kopp earned her MD from the University of Minnesota. Afterward, she completed internship, residency and fellowship at the Mayo Clinic College of Medicine. She is active in the James R. Hebl lab, conducting research in regional and orthopedic anesthesia and perioperative medicine."

This does not establish her impact on the field/ national reputation. This focuses on institutional administrative responsibilities & educational history (not at peer institution), and that she is active in another person's lab.

Strong example: "Professor Cai is an internationally recognized expert in the field of Biostatistics, and is best known for her seminal contributions to survival analysis and regression models, design and analysis of clinical trials, and analysis of correlated responses. She is an elected fellow of American Statistical Association (2005) and Institute of Mathematical Statistics (2009). She has served in key administrative roles in national and international scientific organizations, including President of Eastern North American Region (2016) and a chair of the American Statistical Association in Biometrics Section (2013)."

Acceptable Alternative:

- Internationally recognized expert in the field of Biostatistics
- Best known for seminal contributions to survival analysis and regression models, design and analysis of clinical trials, and analysis of correlated responses.
- Elected fellow of American Statistical Association (2005) and Institute of Mathematical Statistics (2009).
- Has served in key administrative roles in national and international scientific organizations, including President of Eastern North American Region (2016) and a chair of the American Statistical Association in Biometrics Section (2013)

<u>Using "no direct collaboration" exception for co-authors:</u>

Generally, co-authors should not be used. However, co-authorship does not represent a disqualifying collaboration in every case. In some circumstance, you can argue for inclusion. Be clear and make sure you justify the claim that there was no collaboration. You must be able to explain how they each contributed separately - ask the candidate what each did. Googling the publication title can help to identify information about the article which will help you to build an argument - for example, the study is part of a multi-center trial or consensus report.

Key language to use:

- "Candidate and Consultant contributed separately" to the study/publication
- Explain how they contributed separately ex. "each contributed separate data to the study."
- State clearly, "Co-authorship does not represent direct collaboration."

When not to use:

- Not easily used with a small number of authors there is an authorship difference between a publication with 10 authors and one with 100.
- It is less appropriate to make the argument "each contributed separate data," when one is likely the PI of the study (There is a high likelihood of the PI being first or last author). If the candidate or the consultant was the PI of the full study (not just a local/site PI) the relationship is different, and likely more collaborative and thus, you may need to consider replacing the consultant.
 - o If both the candidate and consultant are just local/site PIs (and thus more likely to both be middle authors), this would be seen as less collaborative.

Examples of strong justification that co-authorship does not represent direct collaboration:

- "There are a total of 3 co-authored citations in the first section of the bibliography; #19, #22 and #32. These 3 are the result of participation in the Neuropoint SD Registry: http://www.neuropoint.org/en/NPA-Spinal-Disorders. The Candidate and the Consultant each contributed separate patient data to the Neuropoint SD Registry, a multi-center cooperative group. Co-authorship does not represent direct collaboration."
- "Sponsored by Vanderbilt University, the Multicenter ACL Revision Study (MARS) is an observational prospective cohort study involving over 50 clinical sites. The candidate and consultant each contributed separate patient data to the study. Co-authorship does not represent direct collaboration."

After the List is approved:

- Send the "Pre-contact email"
- Submit the Reference Packet materials
 - o Reference Packet materials should be ready to go and proofread.
 - Do not send the pre-contact until you are ready to submit the Reference Packet
- Download the approved list for inclusion in final dossier

IF additional Names are requested: <u>DO NOT</u> create a completely NEW list. Instead, go to the "approved candidate's tab" and click on "add additional consultants" next to your candidate's name.

To do all of this: Go to Extramural Consultants application and click on the "approved candidate's tab"

EXAMPLE:



List of Approved Candidates:

Name Fan, Yong	Appt/Promo	New Title Associate Professor w/ Tenure	10.000.00	Approval Date 10/14/2019		Grants Y	s Actions				Reference Packet
							View Record	Download Approved Consultant List	Send Pre- Contact Email		Completed
Fan, Yong	Р	Associate Professor w/ Tenure	initial	05/09/2019	Υ	Υ	View Record	Download Approved Consultant List	Send Pre- Contact Email	Add Additional Consultants	Completed

Intramural Letters (Ten/CE/Res only)

- Determine IF applicable early on. Give letter writers tight deadlines and reminders
 (communicate with their assistant if necessary). Ask if they have a scheduling conflict that will
 make responding in a timely fashion difficult. Don't let this be the thing that holds up a dossier
 submission!
- Letters should illustrate collaborative, interdisciplinary work people with whom they engage in impactful scholarly activities across UPENN - other departments, institutes, schools. Should not be from home department.
- If the candidate has a secondary appointment, the home department should solicit a letter from the secondary school or department.
- These are not required! 2-3 letters is sufficient.

Chair's Recommendation Letter

- The original draft was written in the fall leading up to your DCOAP review; it will become "dated".
- Do not get it signed until the last minute before submitting...
 you must review it for current accuracy (ex. there might be updates to grants mentioned, a recent relevant publication, etc.)
- Shy away from enumerating pubs. Use phrases like "Dr. F has over 50 publications..."
- If there are works in progress that cannot be listed on the CV (manuscripts in process, grant applications being developed) or unique aspects of the CV that are indicative of particularities to their field of science, address these points.

For Promotion, Chair's
Recs will be largely rewritten not just "updates" (as at the
time of reappointment).
Promotion Chair's Recs should
strongly explain how the
candidate meets or exceeds
criteria for promotion on the
specified track.

- Review letter for gaps in information or inconsistencies between letter and other dossier documents (including the CV/Grants)
- Ask, "Does this letter make a strong case for promotion based on the guidelines/criteria?"

ALWAYS REMEMBER

Review, Edit & Update documents before final submission to PSOM – much time passed since DCOAP!

AC Track Considerations

If your AC promotion candidate has not been put forward for an academic review in the recent few years, their last Academic Plan was most likely in the old format. Not only will the AOC be a new addition, but the breakdown of duties could be *new to them* also!

Notes on the AOC

The designation of an Area of Concentration (AOC) is a faculty member's opportunity to declare what it is they are most passionate about...what they are (becoming) known for. An AOC may be clinical or non-clinical in focus.

- Non-Clinical possibilities are numerous: Education, community service, advocacy, quality and safety, health policy, global health, diversity and inclusion etc.
- Clinical expertise/specialization and leadership in the delivery of that specialized care
- If you see a lot of patients, are a "go to" expert, & that is what drives you, AOC is likely Clinical.
 - o Clinical trials will likely play a big role...
 - At Assoc. rank can be demonstrated by mentoring, trial & committee participation etc.
 - For Professor rank, consider "How have you influenced care beyond Primary Practice Site?"
 - Changed the delivery of care
 - A new innovation / new technique

The AOC is a common theme throughout the dossier and together with their departments, faculty should be careful to consistently identify and explain their AOC. Keep in mind that:

The AOC shows up in the following ways throughout dossier:

- The Chair's Rec
 - A separate section in which the Chair is asked to identify by name and describe and assess the candidate's AOC and use a variety of possible metrics to provide evidence that they have attained a certain level of recognition for their AOC (within the candidate's primary practice site (PPS) for Associate rank or beyond the PPS for full Professor rank) AC Track Criteria for sample impact metrics.
- The Personal Statement
 - The candidate is asked to identify by name and describe their contributions & achievements in regards to their AOC (Note: If the candidate's AOC is related to education and is detailed in their Education Impact Statement as part of their Education Portfolio, then the candidate should simply state their AOC and indicate "See Education Impact Statement")
- The Peer References
 - The candidate designates their AOC for the Peer Reference *identify by name only*
 - References are asked to describe their "perspective of the scope and significance of the candidate's achievements and their importance within and without Penn Medicine related to the designated AOC.
- The Academic Plan
 - The candidate designates their AOC *identify by name only*

Ensure AOC consistency across all documents! You don't want the Academic Plan to say one thing, the Personal Statement to say another, Peer References to be assessing something slightly different, while the Chair has focused on yet something else in their Recommendation Letter.

AC Track Considerations

Assessment Processes for AC track Faculty

Peer References

<u>GOAL</u>: Peer assessment of the teaching and academic accomplishments of AC track faculty. Peer References are asked to assess impact candidate is making in their designated Area of Concentration (AOC).

Responses are confidential to the candidate. Minimum of 6 responses submitted in final dossier.

- Faculty Coordinators manage this process using Interfolio RPT application to send & receive responses: Process webinar
- The candidate will propose References. References must be faculty at the proposed rank or higher.
 - Provide promotion candidate with <u>Sample Request</u> (so they are aware of questions being asked of References) and <u>Peer Reference Submission Form</u> to ensure they provide you with all necessary information on referees. At least 10 names should be proposed.
 - Be sure candidate is confident that proposed Referees have awareness of their reputation related to their designated AOC.

Clinical Evaluations

GOAL: Peer assessment of the clinical expertise and professionalism of AC track faculty.

Responses must be received from the Chair/Division Chief AND a minimum of 7 faculty peers. Responses are confidential and final report is aggregated and anonymized.

- Faculty Coordinators manage this process using online REDCap application to send & receive requests, send reminders, and generate Summary Report of responses. <u>REDCap User Guide</u>
- Together with division chief, candidate will propose Evaluators.
 - Provide faculty candidate with the <u>Sample Clinical Eval Questionnaire</u> so they are aware of questions being asked. At least 10 names should be provided.
 - Candidate should provide evaluators name, faculty title, & email address.
 - Be sure candidate is confident that proposed evaluators are aware of their clinical care reputation. These should be faculty with whom they have numerous patient interactions. NOTE: List must be distributed, i.e. not all from their division/department.

NOTE: Some departments may decide to do this in the very beginning to have results to review at DCOAP going forward.