
PREPARING YOUR PROMOTION DOSSIER

A STEP-BY-STEP GUIDE



FACULTY AFFAIRS &
PROFESSIONAL DEVELOPMENT

UNIVERSITY OF
PENNSYLVANIA
SCHOOL OF MEDICINE

Preparing Your Promotion Dossier: A Step-By-Step Guide

When is my dossier due?

May 15, 2006

Educational Database (EDB) is due in the Curriculum Office.

August 25, 2006

Complete dossier is due in Faculty Affairs & Professional Development (FAPD).

What belongs in my dossier?

Dossier checklist

- Chair's Recommendation and Academic Plan
- Enter CV & Grants into Faculty Expertise Database (FEDS); CV & Grants must be in John Doe format
- Educational Database
- Extramural Consultants (include Personal Statement and four reprints of journal articles - *required* for tenure track, *suggested* for C-E and research tracks)
- Intramural References (tenure and research tracks)
- Personal Statement (strongly encouraged for all tracks)

Take charge of the process.

Preparing your dossier for promotion is a large undertaking so the sooner you start the better. One component of your dossier, the Educational Database (EDB) or teaching portfolio, is due before your complete dossier. You will need to submit your EDB to the Curriculum Office no later than **May 15, 2006**. When your EDB has been reviewed by the Evaluation Committee, your faculty coordinator will incorporate the EDB into your other materials to form your complete dossier. Please make sure your complete dossier arrives in Faculty Affairs & Professional Development (FAPD) no later than **August 25, 2006**.

To move the process forward as efficiently as possible, you will need to work on several fronts at once: completing your Educational Database, choosing consultants, and perfecting your CV. A number of people are available to advise you – your departmental chair, your departmental Committee on Appointments and Promotions (COAP) chair, your education officer, your faculty coordinator, and the staff of FAPD.

Even so, it is in your interest to take charge of the process. The School of Medicine COAP and members of the Provost's Staff Conference (PSC) will look closely at every document within your dossier. Preparing your dossier represents your opportunity to ensure that COAP and PSC recognize the full range of your accomplishments thus far. In addition, by ensuring that information is accurate and complete, you can avoid lengthy processing delays.

This booklet provides a quick guide to the process. For more detailed information on individual documents that belong in the dossier, you may want to visit the FAPD web site at www.med.upenn.edu/fapd where you can find most of the items that are listed at the end of this guide. Click on <Search> in the upper right-hand corner and type in the name of the item you are looking for, or click on the <Faculty> page where information is grouped by subject matter.

Dossier checklist **Chair's Recommendation and Academic Plan**

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Chair's Recommendation and Academic Plan

Create a game plan.

Set up a meeting with your chair or division chief to obtain input on assembling your dossier. Discuss who will be the best people to write letters of recommendation for you – and which people should not be asked. The meeting will also provide you with an opportunity to update the terms of your Academic Plan to ensure that the plan accurately reflects your day-to-day activities (*see Attachment*). In addition, use the meeting to discuss additions and revisions to your CV. Eventually, you will need to include one copy of your CV with your EDB. Another copy of your CV, including the Grants pages, will need to be submitted with your list of Extramural Consultants for the School of Medicine COAP.

Your Curriculum Vitae

Make it perfect.

Make sure your CV is perfect. It will function as the primary record of your background, activities, and accomplishments. As such, it will serve as an important instrument that reviewers such as COAP members, external and internal reviewers, the Dean and the Provost will use to evaluate you.

Prepare your CV in the School of Medicine John Doe format. This is the only format which will be accepted for the review process. In order for your department to submit your dossier, your CV and Grants must be entered into the Faculty Expertise Database (FEDS) <www.med.upenn.edu/apps/my/fapd>. To access your CV, log on using your PennKey and password, then click on <Faculty Expertise>. To add or edit specific sections, click on the appropriate headings on the left side of the <Expertise Data Entry> page and insert, update or delete information as needed. Descriptions of the sections of the John Doe CV are available on the pertinent pages of the FEDS website.

Your list of publications must be current and formatted correctly. Include publications that are published, in press, or accepted for publication, but **do not include manuscripts that you have simply submitted to journals for review**. Be sure the publications are categorized correctly (peer-reviewed, non peer-reviewed and so forth).

At the end of your CV, include the Grants pages. Think carefully about the “percent effort” you are claiming for funded research. It is important to accurately account for your time. For this purpose, your entire workload is considered 100% time, and not simply a 40-hour week. If you have clinical, administrative or teaching responsibilities and also receive a large amount of funding from grants, make sure you leave sufficient time to accurately account for the clinical/teaching/administrative activities. Claiming more than 80% time on research grants may suggest that you do not have enough time to devote to your other responsibilities as a Penn faculty member.

At the same time that you are perfecting your CV, you should also start gathering other materials for your dossier. Start thinking early on about the list of people who will write letters for your EDB and compile a list of their names. These people will need considerable lead-time.

Educational Database

Get the gears turning.

The Educational Database (EDB) serves to document your performance as a teacher. Despite the word “database” in its title, this document is paper-based rather than electronic. In effect, your EDB serves as a dossier within a dossier, for, eventually, your EDB will be incorporated into your larger dossier for COAP. Unlike other documentation you prepare for review, which is handled through Faculty Affairs & Professional Development, your EDB is processed through the Academic Programs Curriculum Office. Your EDB is reviewed by the COAP Subcommittee on Teaching Evaluation.

To get the gears turning, the Curriculum Office suggests that you send them the names and complete mailing addresses of ten to twenty former trainees and three to five course directors, including the names of the courses you taught for them, as soon as you can. That way, the Curriculum Office can solicit letters from the people you list, before the Office has received any other information for your EDB. In doing so, the Curriculum Office can decrease the time needed to compile your database by as much as four weeks. Next start assembling the other materials that belong in your EDB. For a full list of these materials, visit the <Faculty> page on the FAPD website <www.med.upenn.edu/fapd> and click on <Educational Database>. In reviewing this list, notice

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Educational Database

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Note: *The names of references you supply for your EDB cannot be the same as those supplied for extramural consultants for the SOM COAP.*

that in addition to including teaching activities such as courses taught to medical students and supervision of residents, you will also need to provide information on thesis committees you have chaired, research projects you have supervised, and school-wide committees relating to education on which you have served. As you gather materials for your EDB, submit them in a binder to your faculty coordinator.

Strong and extensive quantitative data on your teaching evaluations will serve you well. If you have taught in Curriculum 2000, this data has been stored for you. Please remind your faculty coordinator to solicit it from course directors. Finally, remember to include a copy of your CV.

Extramural Consultants

Make sure they meet the guidelines.

The School of Medicine COAP will be looking for evidence of your scholarship, reputation, and standing within your field. In addition to the information provided by you and your department, they will seek this information from the assessments your extramural consultants provide.

Your department will select eight consultants. You will need to select three more. Once you have made your selections, send their names to your faculty coordinator who will submit them to FAPD for review and approval by the COAP Chair, the Dean and the Associate Provost.

The purpose of using consultants is to obtain a professional assessment, not a personal reference. The consultants you choose should be experts in your specific area of biomedical expertise, and they should belong to peer institutions. Past and current collaborators should be kept to a minimum. If a prospective consultant does not belong to an institution of the same academic caliber as Penn, but the person is outstanding in your field, then do include him or her. However, make sure to include written documentation explaining that this person is among the top scholars in your field.

Remember that the School of Medicine COAP will be contacting your consultants to seek an objective and unbiased assessment of your academic standing. For

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that reason, the Provost's guidelines state that you may not contact consultants in advance to see whether they are willing or able to assess your work, whether they already know you in some other capacity, or whether they are willing to provide a positive evaluation of your work. For complete guidelines on selecting Extramural Consultants, *see Attachment*.

What kind of information will consultants provide?

In choosing extramural consultants, keep in mind the kind of information they will be asked to provide about you. This information varies from track to track and from rank to rank. You can find an extensive description of the kinds of information COAP will be seeking by visiting the <Faculty> page on the FAPD website <www.med.upenn.edu/fapd> and click on <COAP>. This will produce a list of School of Medicine COAP information including guidelines for promotion or appointment in the different academic tracks. You will also see COAP letters to extramural consultants for the different academic tracks. For example, to find the COAP letter for Clinician Educators (C-E), click on <COAP Letter to Extramural Consultants - CE Track Candidates>.

Intramural References

In addition to extramural consultants, the department will solicit intramural references. If you are on the tenure track, these references will need to attest to your scholarly contributions, teaching, administrative, and clinical expertise. If you are on the clinician-educator track these references will need to attest to your clinical and teaching expertise and your scholarly contributions. If you are in the research track, they will need to provide evaluations of the caliber of your investigative work.

Additional letters

If you wish to obtain letters from individuals other than those who will be contacted through the process described above, you may ask that the letters be sent to your department chair to be included in your dossier. However, bear in mind that COAP usually attaches greater weight to the letters solicited by FAPD, on the assumption that they represent a more impartial view of your accomplishments.

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Personal Statement

A personal statement is strongly encouraged for all tracks. It will accompany letters soliciting assessments from your extramural consultants. Use the personal statement as an opportunity to summarize your accomplishments, but be brief. Your statement should be no longer than two pages.

Select information that demonstrates your intellectual leadership in your area of biomedical expertise. You may also want to highlight accomplishments that may not be obvious or permissible on your CV such as research in progress and any associated papers you have submitted or grants that are pending. Accomplishments of which you feel particularly proud on a personal level are also appropriate here. Perhaps a particular advocacy group has sought you out as a leader and spokesperson, or you have had a lasting impact on junior colleagues or fellows whom you have mentored.

Final meeting with faculty coordinator***Close the loop.***

Sometime in July, meet with your faculty coordinator to close the loop and make sure that you are both on track toward preparing your dossier. If you meet at least a month before the August deadline, you will have time to fill in any gaps. Be sure to update your CV in FEDS.

You're done!

Once you and your faculty coordinator have double-checked to see that every item on the checklist is in your dossier, you are done. You will have completed your part of the promotion process. Your faculty coordinator will submit your complete dossier to Faculty Affairs & Professional Development.

After FAPD receives your dossier, confidentiality will be observed during the review process. Your department chair will be notified of the outcome.

Where will your dossier go from here?

If the School of Medicine COAP determines that you meet the SOM standards for promotion, the Dean will forward COAP's recommendation to the University Provost. At the Provost's Staff Conference, deans from throughout the University assemble to serve as advisors to the Provost. The SOM Dean will present his case for your promotion, and the Provost will solicit comments from the other deans. The Provost will approve, defer, or deny the recommendation for your promotion.

To see an online list of documents related to Preparing Your Promotion Dossier Guide, go to: <http://somapps.med.upenn.edu/fapd/fapdweb.php?alias=assocres&resource_id=fa00009>

Dossier Checklist

for the Promotion Process

Meetings

- Department Chair
- Division Chief
- Department Education Officer
- Department COAP Chair
- Mentor
- Faculty Coordinator
- Others

Date and Notes

Items for Completion

- Chair's Recommendation Letter
- Academic Plan
- Enter CV & Grants into Faculty Expertise Database (FEDS)
Must be in "John Doe" format
- Educational Database (EDB)
- Extramural Consultants
- Four Reprints (*required* for tenure, and *suggested* for CE & research)
- Three Intramural Reference Letters (for tenure and research track)
- Personal Statement (strongly encouraged for all tracks)
- Completed Dossier!

Date and Notes

Guidelines for Selection of Consultants:

Appointment as or Promotion to Associate/Full Professor in the Tenure, Clinician-Educator, or Research Tracks

- Office of the Provost
 - The Deputy Provost is responsible for establishing the guidelines and overseeing the process of selection of consultants
- Purpose of using consultants
 - To obtain an unbiased and impartial assessment of a candidate's scholarship, reputation and standing in the specific field
 - To obtain a professional assessment, not a personal reference
- Relationship of the consultant to the candidate
 - Must be accurately reported
 - Close personal relationships should be avoided
 - Close professional relationships, such as collaborations on publications, should be kept to a minimum. Check the CV!
 - Former University of Pennsylvania faculty should be gone for at least 5 years and all previous Penn appointments should be disclosed
- Approval process
 - Following initial review by Faculty Affairs & Professional Development (FAPD), the list of consultants will be reviewed and approved by the SOM COAP Chair, the Dean, and the Deputy Provost
- The process is confidential. No contacts should be made in advance to determine
 - If the consultant will be able or willing to provide an assessment
 - If the consultant has prior knowledge of the candidate
 - If the consultant is willing to provide a positive assessment of the candidate's work
- Consultants should be
 - Experts or specialists in the candidate's field or fields, if interdisciplinary
 - From peer institutions and/or institutions known for work in the specific field. If the consultant is not from a peer institution, include supporting documentation attesting to the rationale for choosing that consultant from that institution
 - At a faculty rank equal to or higher than the rank which is being recommended for appointment or promotion of the candidate
 - Different from those named for the educational database
- Additional letters of recommendation from faculty colleagues, students, or trainees which are not being included in the Educational Database
 - May be solicited by the candidate or by the department and included in the dossier
 - May be unsolicited and sent to the department to be included in the dossier or to FAPD

Guidelines for Selection of Consultants (continued)

- Use of the Pre-contact Letter
 - The department chair may send the pre-contact letter to each consultant who has been designated by the candidate and the department at the time the list of consultants is submitted to FAPD. The SOM approved pre-contact letter must be used in its entirety and may not be revised.
 - Text of the pre-contact letter: "Our department is recommending _____ for appointment as/ promotion to _____. Because of your expertise and prominence in the field, I have recommended that the School of Medicine Committee on Appointments and Promotions (COAP) contact you to provide a candid assessment of Dr. _____'s qualifications for this position. Should they elect to do so, they will contact you directly. The University's academic review process is confidential, so all correspondence and comments must be directed to the COAP and not to me. I urge you to reply as quickly as possible to their request, for a timely decision by COAP is extremely important to both the candidate and the department. I appreciate your time and effort in providing this expertise to the School of Medicine."

- Depending on the track, the consultant will be asked to provide:
 - An assessment of the scope, importance and significance of the candidate's scholarly accomplishments (tenure and research)
 - Quality of academic contributions. Focused comments on the nature and substance of the scholarly and clinical contributions of the candidate (C-E)
 - A list of several outstanding peers within the candidate's discipline and an evaluation of the candidate's standing with respect to these individuals (all tracks)
 - An estimate of the likelihood of the candidate achieving a similar rank and tenure, if applicable, at other institutions comparable to Penn (all tracks)
 - An assessment of the candidate's strengths in professional ability, quality and nature of teaching (C-E)
 - Other evidence of stature of the individual as indicated by a direction of a division or program, leadership at regional or national level on committees, participation in CME programs or invited lectures (C-E)
 - Any additional insights

- Scholarship in the C-E track
 - "Today's AMC faculty must also include a cadre of clinician-educators of sufficient size to support the educational mission of the medical school. These individuals must be excellent practitioners, but they should also produce scholarship in the form of clinically relevant papers and case reviews, chapters, reviews and texts, alternative new media, and educational materials about their practices. Their scholarly work often will be heavily collaborative and may not rise to the level of independence expected of individuals in the tenure track."¹

¹Barchi, R. and Lowery, B. "Scholarship in the Medical Faculty from the University Perspective", *Academic Medicine*, Vol. 75, No. 9/September 2000

