

## Planning for the Academic Year

Each Summer, FCs should take the time to plan for the coming academic year. This preliminary planning will help you and your department leadership get on the same page regarding all faculty affairs actions for the next year. This is a guide for those preparations:

- Identify Actions for DCOAP Review
- Review Issues of Compliance and Other Faculty Affairs Needs
- Identify Search Needs
- Considerations for Academic Support Staff
- Backwards Plan to Prepare for Deadlines
- Conduct New Faculty Welcome Meetings

### Annual Assessment

*As you prepare for a new Academic Year take time to consider lessons learned in the previous year.*

*What went right and what went wrong and why?*

- Consider this not only from your perspective, but from the perspective of other stakeholders.
- Of the things that went right, how can you leverage it and continue to build on that success?
- Of the things that went wrong, how can you address it to be sure it goes more smoothly next cycle?

*Where can Knowledge building help?*

- Can the Department benefit from knowledge building in any particular area?
- What knowledge gaps do you need to fill and where can you go deeper to help you get to the next level?
- Do you have faculty in new academic leadership roles? Prepare to support them in the year ahead.

*What are the priorities?*

*There are often a multitude of opportunities for improvement. You can't tackle them all. Identify a few key areas to address in the year ahead.*

- What will have the biggest impact?
- Are there issues that impact the department's ability to meet timelines?
- Can you gain any efficiencies, freeing up capacity?

### Actions for DCOAP review

**Make sure that you and your leadership team are all aware of Deadlines to plan your agendas**

## 2024 Reappointments

Reappointment dossiers are due no later than January 30, 2024. **If at all possible, submit dossiers in the Fall.**

### Preparing for Reappointment Reviews

- I. Use FADS to determine who is up for reappointment**
  - a. Go to FADS > Appointment Reports > Reappointments
  - b. Use drop down menu to select view of FT tracks and PT tracks
  - c. Focus on faculty with a 2024 end date
- II. Identify if this is the 1<sup>st</sup> or 2<sup>nd</sup> Reappointment (CE, Tenure, AC)**
  - a. If 1<sup>st</sup>, verify they have completed the Onboarding for Teaching Program (see below)
  - b. If 2<sup>nd</sup>, and AC track, make sure the candidate is prepared to designate an Area of Concentration
- III. Review TED to help identify any problem areas early**
  - a. If low scores or negative comments are found, report to Education Officer
  - b. Is there a lack of data? If so, try to determine why and see if alternative data exists
- IV. Plan with your Administrative Team / Set schedule and deadlines with Team in Mind**
  - a. EO
    - i. How many reappointment reviews must be completed?
    - ii. When does EO want to receive materials for review?
    - iii. Will meetings with faculty be scheduled?
  - b. Division Chief/Mentors and others who will participate in documentation
    - i. Who will help to review and draft Chair's Rec. Letter – Ten/CE/Res?
    - ii. Who will help to review and draft Academic Plan – Ten/CE/Res?
    - iii. Who will help to review and draft AC Summary Reports?"
    - iv. What about other Associated faculty reviews (Clinical, Adjunct, Visiting, & Wistar tracks)?
- V. Contact candidates with their "to do" list and deadlines in preparation for review**
  - a. **Provide previous Chair's Rec. letter/Summary Report** (initial appointment or previous reappointment)
    - i. For Ten/CE/Res - Be sure each section includes the "Updates" heading. This is where candidates will add new information. (\*All previous content must remain)
    - ii. Ask candidate to draft updates to applicable sections – contributions, accomplishments, progress since last review.
  - b. **Provide previous Academic Plan**

*NOTE: This is a forward-looking job description of expected responsibilities. It is not about career highlights. It should project expected effort across our four mission areas specific to their role and responsibilities for the coming term.*

    - i. Distribution of effort and description of duties should be revised accordingly to accurately reflect expectations going forward.
  - c. **Provide EO letter/Summary Report template**

*NOTE: Be sure to confirm with EO their expectations for process.*

    - i. Provide previous letter *if it exists*. If not, provide template.
    - ii. Ask candidate to draft summary of activities
  - d. **Confirm candidate is up to date on their Education Activities charts**

*NOTE: These charts help EOs verify annual education credits and allow them to see at a*

*glance the activities of the candidate. The charts are not submitted to PSOM as part of the reappointment dossier.*

- i. Provide blank Workbook for completion (if candidate does not already have). Candidates complete 1 chart/year (since initial appointment or last academic review)

e. **Update CV & Grants pages in FEDS**

*NOTE: CV should be part of all DCOAP reviews. However, CV is not submitted to PSOM in every case. Refer to Dossier Checklists.*

- i. CV should be “perfect” per CV Guidelines
- ii. Be sure all new information has been added
- iii. Be sure existing information is accurate and updated for changes in status i.e.
  1. Grants are on correct page per start and end dates
  2. Citations that were *in press* or *e-pub ahead of print* at time of last review should now have a complete and accurate citation
  3. Roles that have ended have been addressed in cv

## COVID-19

Impacts of COVID 19 may be a consideration for candidates. Ask all candidates **if** they would like assistance in scheduling a meeting with:

- Their Mentor(s), Division Chief or Department Chair to discuss concerns they may be having about how COVID has impacted their career trajectory.

## 2025 Promotions

ALL candidates to be proposed for 7/1/25 must have an affirmative DCOAP vote no later than April 1, 2024. Inform OAA as soon as DCOAP consideration is final even if before April.

*This deadline ensures ample time to meet subsequent deadlines for dependent processes. Complete dossiers should be ready for submission to OAA by early Fall of 2024.*

*Preparing for Promotion Reviews – to be done in Summer 2023:*

- I. **Find out who is up for Mandatory Review**
  - a. Go to FADS > Appointment Reports > Mandatory Reviews
  - b. Use drop down menu to select the year – 2024-25
- II. **Identify Potential Candidates for FULL Professor**
  - a. [Run FADS Query](#) to identify possible candidates
- III. **Identify Potential Candidates for AC Promotion (Associate & Full)**
  - a. [Run FADS Query](#) to identify possible candidates
- IV. **Meet with DCOAP Chair/Dept. Chair to plan reviews**
  - a. Provide entire list of Promotion considerations (Mandatory & Potential)
  - b. Identify if any faculty on the Potential List should go to DCOAP for review/vote
  - c. Ask if there is anyone they want to consider for “early” promotion
  - d. Confirm materials for DCOAP review:
    - i. Determine who will be involved in drafting documents and presenting Case
    - ii. Provide applicable Promotion Criteria to all
- V. **The following are required in DRAFT for DCOAP review (as applicable by track):**

- a. Personal Statement
  - b. CV & Grants
  - c. Education Portfolio
    - i. Candidate's Education Impact Statement
    - ii. EO Report
    - iii. Evaluative Data reports - TED and/or other
    - iv. Activities Workbooks (as needed)
  - d. Academic Plan
  - e. Chair's Recommendation Letter
- VI. Meet with candidate and provide their To Do List for DCOAP review**
- a. Explain process and your supporting role/partnership
  - b. Provide applicable Promotion Criteria
    - i. For Tenure, CE, Research see [COAP Guidelines](#)
    - ii. For AC, see [AC Criteria](#)
  - c. Give clear deadlines *based on requirements for DCOAP*
  - d. Update CV & Grants
    - i. add new information (new pubs. and grants, lectures, committees, etc.)
    - ii. revise outdated information ("in press" two years ago, now has complete citation, memberships end, previously pending grants are now active and previously current are now past etc.)
  - e. Provide copies of most recent Chair's Rec. letters and Academic Plans etc. for review
  - f. Provide template for Personal Statement
    - i. This Statement will continue to be edited and enhanced up to the point at which it is submitted to Extramural Consultants (~ May of 2024)
  - g. Provide templates for Education Portfolio materials

**NOTE:** about Promotion Chair's Recs

- must strongly explain how candidate meets or exceeds criteria for promotion. It will be widely re-written to serve this purpose. For promotion, Chair's Recs do not simply include "Update Sections."
- The Chair Rec. letter templates have likely been revised since the promotion candidate's last review. Be sure to use newest correct template and all writers should carefully follow guidance on template describing content expectations per section.

## Assessing Issues of Compliance and other Faculty Needs

### I. Review for potential Track Switch candidates

There is a limited window in which faculty can make track switches. Departmental decisions, in most cases, must occur **no later than the year before their second reappointment** (decisions cannot be held until Second Reappointment DCOAP review) and **in some cases by the time of the first reappointment (see below)**. Track switches are processed as new appointments and thus require an RTR and in some cases a Search.

- **Research to Tenure** (requires change from 10-year to 7-year probationary period)

- To switch tracks at Assistant rank – by year 3, (or time of first reappointment)
- By 5<sup>th</sup> year (if no extensions), track switch will require promotion in rank at same time
  - This is not ideal; often very difficult
- This appointment requires a national search
- **CE to Tenure** (may require a change from 10-year to 7-year probationary period if there is no direct Clinical Care responsibility)
  - If probationary period must change from 10-years to 7-years
    - To switch tracks at Assistant rank – by year 3, (or time of first reappointment)
    - By 5<sup>th</sup> year (if no extensions), switch requires promotion in rank at same time
  - If probationary period remains at 10 years
    - no later than year before second reappointment (5<sup>th</sup> year if no extensions)
  - This appointment requires a national search
- **Tenure to CE**
  - no later than year before second reappointment (5<sup>th</sup> year if no extensions)
- **Research to CE**
  - no later than year before second reappointment (5<sup>th</sup> year if no extensions)
  - This appointment requires a national search
- **CE to AC**
  - no later than year before second reappointment (5<sup>th</sup> year if no extensions)

### How to Identify possible candidates

- a. Conduct “Look ahead” reviews

#### Key Timing

- i. *Look ahead* to the next year’s reappointments (2025) & follow rules above
  1. Identify 2<sup>nd</sup> reappointment candidates on Tenure, CE, & Research tracks
  2. Identify 1<sup>st</sup> reappointment candidates on Research track or CE track basic scientists who may be considered for switch to Tenure track and would thus change from a 10-year to 7-year probationary period
- ii. Provide list to DCOAP Chair/Dept. Chair for track switch consideration. Discussions on the issue of a potential track switch must occur this year, (not next year at time of actual Reappointment).
- iii. Schedule DCOAP vote this year – no later than May 2024
- iv. Effective date of appointment to new track will be at the time of what would have been next year’s reappointment.

Track switches into tracks other than Tenure are most common and these review must occur the year before the candidate’s second reappointment.

## II. Compliance with the Onboarding for Teaching Program

All full-time faculty in a teaching track (Tenure, CE, and AC) must complete the required courses in the [Onboarding for Teaching Program](#) prior to their 1<sup>st</sup> reappointment. 1<sup>st</sup> reappointment candidates should have completed the program by now. Departments may **NOT** submit a dossier to the School until course requirements are met.

- a. If you identify any reappointment candidates who have not completed the program:
  - i. Contact the candidate with remaining requirements and link to Fall 2023 offerings.
  - ii. Notify the EO of any faculty who have not yet completed the requirement.
- b. Look ahead to next year's (2025) 1st reappointment candidates. Contact each with a list of outstanding requirements they must complete within the next year and a link to upcoming programming.
- c. To review a faculty members completion of the Onboarding for Teaching Program:
  - i. Go to the [UPenn WorkDay Portal](#) > Click "View All Apps" > Click "Learning Report Runners Dashboard" > Search Faculty Member(s) name(s) and click "OK" to view transcript
  - ii. Complete Participation in the Onboarding for Teaching Program includes the Digital Welcome, Teaching at PSOM 101, and two electives [outlined here](#)

### III. Visa Considerations for New Appointments

It is important to note that the Visa start date must align with the Appointment Start Date. Visa appointment wait times can vary and ultimately impact the start date of a candidate's appointment. It is important to communicate any changes in Visa status to Kim Haebel and Lauren Ngo throughout the application process.

### IV. Sabbaticals, Leaves, Reductions in Duties, Reduction in Effort

It is important to consider Sabbaticals, Leaves and Reductions in annual planning. Academic review timelines do not stop while a person is out on Leave or on a reduction. *Engage Division Chiefs and Chairs to see if they are aware of any interested faculty so that you can be in the loop early on.*

- a. **Help facilitate Requests** by working with Faculty and Department leadership to ensure process is followed, to submit required documentation to OAA (Erin Rossello) in a timely fashion, to provide resources as needed and to track timelines for these actions.
- b. Have a mechanism in place to **track requests and timeframes for these actions.** Faculty who have a pending leave or who are scheduled to return from a Leave, Sabbatical or Reduction will need attention. It is important to work with your business office and the faculty member to help coordinate these actions.
  - i. Track return dates to help facilitate completion of the required "Return from Leave" process in Workday for Sabbaticals and Reductions.

- ii. Reductions in Duty must be updated in Workday annually until faculty resumes full effort.
- iii. Keep track of Reduction in Duties effort percentages – once totaling 100%, faculty member may qualify for an Extension to the probationary period.

## Faculty Search Planning

It is important to provide time to conduct a full and compliant Search that ensures ample time for preferred candidates to be recruited and reviewed for Appointment.

Minimum Timeline for a National Search (90 Days) for candidates proposed for July 1 start date:

- August - Ads created, approved & posted
- Aug. to Dec. - Search conducted
- Dec. to Jan. - Preferred Candidate(s) selected
- Jan. to March - Recruitment approval processes and Dossier developed\*
- April 1<sup>st</sup> – Deadline for Dossier submission to OAA to **ensure** Provost review for July 1 – September 1 start dates

\*For Appointment at Associate and Full Professor Rank, the Extramural Consultant process often takes many months from start to finish – factors that impact receipt of required minimum number of letters are mostly out of the department’s control.

Planning for Search Needs:

- I. Meet with appropriate leadership to review all open Positions**
  - i. Are any about to expire by the end of the academic year? Should they be renewed?
    1. Positions that require renewal must be submitted through Ad Generator 3.0
  - ii. Will the Search Committee remain the same?
  - iii. Are any over/completed or not needed any longer?
    1. Contact Lauren Ngo to close Position.
- II. Inquire about recruitment needs in all division areas**
- III. Identify potential internal candidates** – in most all cases these require a search too
  - i. Instructors & Research Associates who may be considered for faculty appts
  - ii. Current Residents and Fellows who may be considered for faculty appts
  - iii. Track switch candidates (fairly common between Clinical to AC or CE to AC)
- IV. Identify search committee chairs for new Positions**

**V. For new positions, schedule “Charge Meetings” with Search Committee Chairs & DSAs to plan**

- i. Drafting the position description
- ii. advertising & announcement locations
- iii. how communication with committee members will be handled
- iv. applicant review meetings

**VI. Plan for DCOAP Appointment reviews for preferred candidates**

## Considerations for Academic Support Staff: Instructors / Research Associates

### Reappointment & Extension:

Academic Support staff are initially appointed for a term of one year. These are term-limited positions for a maximum of three years. FCs should assess if they will be:

- reappointed for another year
  - require an Extension to stay in position beyond the three-year limit
  - considered for a full-time Faculty Appointment
  - terminating within the upcoming year
- I. Run a **Reappointment Report** in FADS selecting “Academic Support Staff” from the drop down
    - a. identify anyone who has an end date (“approved until” date) in the coming year
  - II. Check with leadership (Division Chief, P.I., and/or department Chair) to determine:
    - a. If plan to move person to a full-time Faculty Appointment this year
      - i. Begin Search and follow complete appointment process
    - b. If reappointing for 2<sup>nd</sup> or 3<sup>rd</sup> year – update Academic Appointment in Workday A.U.
      - i. A Reappointment Letter is required.
    - c. If three-year term is ending, but an additional 4<sup>th</sup> year is needed,
      - i. Submit an Academic Support Staff Extension Request to OAA

## Backwards Planning

**Strategy for Success:** Be aware of deadlines and how long it takes to complete process so you can “backwards plan” to ensure that you start on the right track. Basic knowledge of process timelines will help you to do this.

### Appointments

(~9-10 months start to finish. Could be as short as 6 months for a new AC)



3 processes: Search / Recruitment (RTR & Offer Letter) / Academic Review (Dossier)

Departments cannot reduce required Search time (3-month minimum for Ten/CE/Res) and cannot reduce time for complete Academic Review (~3 months, can be longer). The only area where a department can “speed things along” is with the documentation of the Search, RTR and Dossier. The better the department team works together to complete the necessary documentation, the sooner you can submit a Dossier to OAA. Be sure to document & complete the search as soon as candidate is identified and then immediately begin RTR and Dossier.

**This is why if a Search, even for an Assistant rank appointment isn’t completed by the end of January, you will have a very hard time meeting the dossier submission deadline of April 1<sup>st</sup> for a July 1<sup>st</sup> start!**

Tenure / CE / Research Tracks

Typical Assistant rank timeline: 7-9 months total

Minimum 3 months National search + 2-3 months to complete the three concurrent processes (Search documentation & approval/RTR/Dossier) + 2-3 months for Academic Review of dossier = 7-9 months

Typical Associate or Full Professor rank Timeline: 9 – 12 months total

Add at least two months due to the Extramural Consultant process which takes many months from start to finish

– factors that impact receipt of required minimum number of letters are mostly out of the department’s control.

AC Track

Typical Assistant Professor rank timeline: 5-7 months total

Minimum 1 month Limited search + 2-3 months to complete the three concurrent processes (Search documentation & approval/RTR/Dossier) + 2-3 months for Academic Review of dossier = 5-7 months total

Typical Associate or Full Professor rank Timeline: 6-8 months total

Additional 1-2 months due to additional committee in review process and substantive Peer Reference process.

**Reappointment**

(~1-year process ex. Start July ‘23 for July ‘24 effective date)

- Summer
  - Contact candidates to update CV & Grants, Draft Chair Rec/Ac. Plan/Other documents per track requirement

- Provide EO with evaluation data in late July (or as soon as available on line) and candidate draft of EO letter
- Early Fall – Schedule for DCOAP review
- January – Submit dossiers

### Promotions

(~2-year process ex. Start July '23 for July '25 effective date)

- Late summer two years before effective date
  - Contact candidates to update CV & Grants, Draft Personal Statement/Chair Rec/Ac. Plan/Other documents per track requirement to prepare for DCOAP review.
- Late Fall/early Winter – Schedule for DCOAP review
- January-April – Notify OAA of DCOAP decision
- May – Extramural Lists due (Ten., Res., CE)
- May – June – Peer Reference and Clinical Eval Processes should be started if not already underway (AC)
- Summer (1 year before effective date) – complete remaining dossier documents
- Fall - be prepared to submit dossier to FAPD
  - For AC – submit as soon as ready
  - For Ten., CE, Res. – be ready to submit as soon as contacted by OAA
- September to June - Academic review process plays out

### Awareness of Annual Cycle

It is very helpful to be aware of “Busy times” throughout the year when multiple faculty affairs actions converge.

See [Annual Cycle](#) for month by month targets.

For Example:

#### Fall

- **Finalizing and submitting 2024 Promotion dossiers** (as ready for ACs, as requested for Ten, CE, Res)
- DCOAP reviews for 2024 Reappointments & 2025 Promotions
- **Finalizing and submitting 2024 Reappointment dossiers**
- Managing Searches (Preferred candidates by January!)

### Winter to Spring

- Documenting completed Searches and submitting Recruitment (RTR) documentation
- DCOAP reviews for Appointments
- **Developing and submitting Appointment dossiers (By April 1<sup>st</sup>)**
- Reviewing, researching, & submitting Extramural Consultants
- Conducting Clinical Evals and Peer Reference processes for ACs

### Considerations for DCOAP

The summer is the best time to discuss the state of the DCOAP with your DCOAP Chair – what is going well? Where is there room for improvement? Together you may want to consider ways to revise processes, increase understanding, implement new departmental policies (like term limits and membership expectations).

### Organize your DCOAP

- I. Get the structure in place
  - a. Do you need new members?
  - b. Do you need a Vice Chair?
- II. Send NEW DCOAP Operational Guidelines to ensure fresh awareness for the new Academic Year
- III. Set the calendar with regular mtgs.
  - a. Strategize the actions
    - i. Assess volume of actions. Distribute load to support the meeting of deadlines
    - ii. Consider scheduling Reappointments in early fall
    - iii. Schedule “easiest” reviews (those with the fewest documents to prepare) first
      1. Schedule Promotions reviews in late fall – January
    - iv. Plan time for anticipated appointment reviews
  - b. Make sure to discuss required DRAFT documents for DCOAP review for each action type

### New Faculty Welcome Meetings

If at all possible, Welcome new faculty within the first two months of their start date. You are going to be very busy in the Fall, as will they – so the sooner the better. Consider scheduling small groups of faculty on the same track, rather than one-on-one meetings. Most importantly, recognize the valuable role you are playing in “setting the stage” for the management of their Academic Career progression. Click [here](#) for description of Program and step by step guidance on the Content that should be covered. A new Welcome Message video is under production in OAA. Stay tuned for this new resource.

### Tools & Resources

Go to the [Managing Academic Actions](#) and [Faculty Coordinator Toolbox](#) sections of the OAA website for tips, tools, and guidance to help you do your job! Among other things you will find:

- Faculty Action Planners  
Customizable excel chart to help you oversee and track completion of all actions in a given year.
- Appointment & Promotion Process Checklists  
Sample, customizable charts to plan each individual’s process timeline. Adjust for rank and track.