# GUIDE FOR PROMOTION OF FACULTY WITH THE "AT CUMC" TITLE

## INTRODUCTION

This document provides our full-time faculty in the "At CUMC" track and their departments with information about the steps needed when considering promotion. The document should:

- Serve as a framework for describing what data should be assembled for the promotion process
- Provide guidance and suggestions on how faculty can work towards preparation of their promotion dossier. Specifically, information is provided to faculty to help optimize the organization of the dossier and the description of their qualitative and quantitative academic achievements and contributions.
- Help faculty to think strategically about their career development plans well before consideration for promotion.

Advancement in rank is marked by evidence in incremental growth in the following:

- Achievements and recognition within the faculty member's most significant area(s) of focus,
- Growth in reputation as appropriate to the faculty member's area(s) of focus.
- Notable and important internal contributions essential to CUIMC schools
- Institutional, community, local, regional, national and international service and/or academic citizenship

*Please note:* Academic citizenship in the absence of excellence in one or more areas of academic focus would not be sufficient for academic advancement.

Navigating the promotion process generally requires four considerations:
a) *Readiness* for promotion;
b) Determining what area(s) of focus provide the strongest examples of the faculty member's academic contributions;
c) *Assessment* of what elements may need to be better developed or documented;
d) *Preparation* of the required documents.

### Resources and Support:

VP&S's Apgar Academy for Educators and/or VP&S's Academy of Clinical Excellence may provide resources and or counsel in preparation for promotion. In addition, the Assistant Dean for Academic Development, Diversity and Inclusion and the Vice Dean for Academic Affairs may provide information to guide faculty.

For additional information, please consult the Office of Academic Affairs website at:
https://www.ps.columbia.edu/faculty-development/faculty-diversity/faculty-tracks/at-CUMC

## AREAS OF FOCUS ON THE "AT CUMC" TITLE TRACK

All faculty with an "at CUMC" title should have at least one major area of focus among the three possible areas, and may have one or two other areas of focus to which they may contribute. Full-time faculty will benefit from understanding the process of promotion and the opportunities to define the quality and impact of their academic contributions in each area of focus that contribute towards their promotion:

- *Applied health care and public health interventions;* comprising the scholarly application of health science knowledge in practice, or public health interventions.
- *Educational Scholarship/Leadership;* includes the transmission of the principles and practice of health sciences using principles relevant to adult learning and the development of scholarly products that support these activities;
- *Investigation;* which may span basic, clinical or public health science discoveries, synthesis of existing knowledge and/or new applications of existing knowledge.

Figure 1: The Areas of Focus on the "At CUMC" Title Track
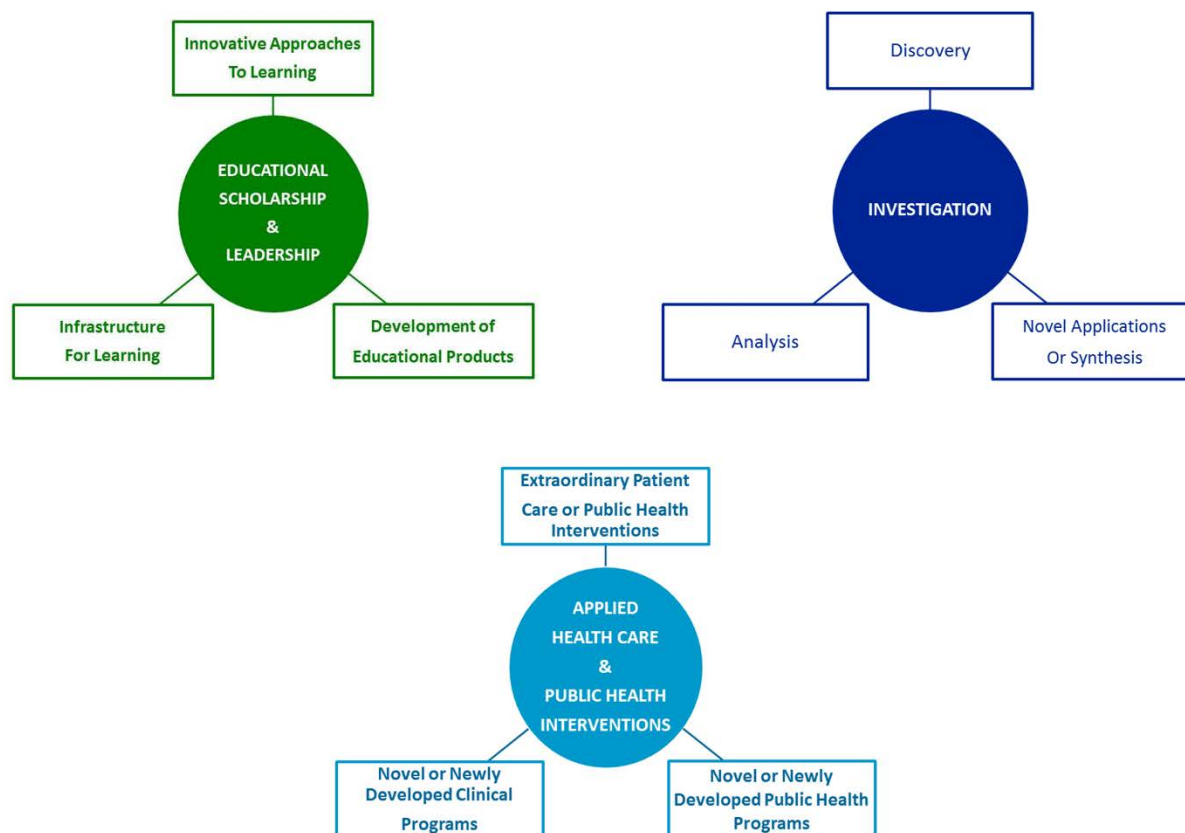
Although the evidence to support promotion will vary depending upon the area(s) of focus, qualitative excellence is expected. In some areas of focus, such as *investigation*, national and/or international recognition of research contributions are the standard measures of accomplishment. In other domains, such as *education* and

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*applied healthcare/public health practice,* internal, regional clinical initiatives or national recognition based upon clinical expertise, or participation in nationally recognized innovative educational programs or substantive institutional contributions may be an appropriate standard for advancement. To achieve the rank of full professor, faculty are required to have achievements that have been recognized beyond CUIMC or to have made more substantial unique and important contributions to CUIMC.

***Many faculty make substantial contributions outside of a single area of academic focus*.** These activities are often of outstanding quality and importance, but are quantitatively less than work in faculty's primary area of focus. Nonetheless, these significant activities will supplement accomplishments in the main area(s) of focus, allowing the sum total of an individual's achievements to be considered in the evaluation for promotion.

***At the time of promotion, all faculty contributions are considered***.  For example, outstanding educators may also be expert clinicians, or active clinicians might also contribute to important clinical research. A faculty academic profile might be thought of as the area under a curve, with some faculty filling the area with work in only one area of focus and others filling the area with work in more than one area of focus.

*Evaluation of scholarly productivity*: One of the key aspects of the evaluation for promotion is that contributions and achievements can be assessed through perceived ***quality, impact and innovation of scholarly products***. Scholarly products and measures will vary according to the area of focus and individual field.

A faculty member need not have examples of every type of scholarly product appropriate to the area of focus in their portfolio, but examples selected should be of sufficient quality to support an evaluation of quality and impact in the academic focus, and should be quantitatively appropriate to the academic rank and distribution of overall effort.

**Promotion to the rank of "Associate Professor at CUMC" compared to promotion to "Professor at CUMC":** requires substantially different levels of accomplishment, recognition and impact. Faculty promoted to Associate Professor should have a strong regional and in some cases an emerging national reputation in the major area of focus. Faculty at this level should be acknowledged by peers inside and outside of CUIMC as experts in their area(s) of focus. In contrast, promotion to the rank of Professor at CUMC should be marked by substantially more external recognition through more substantial quality and quantity of scholarly contributions and impact. Promotion to Professor requires national recognition of contributions within the area(s) of focus. Faculty at this rank should be widely acknowledged by peers inside and outside of CUIMC as exceptional within their area of focus.

***Educational contributions*** are required for all faculty. The type and quantity will vary with the academic area(s) of focus and may occur in many settings. Educational contributions should be broader and more robust when the academic area of focus is educational scholarship and leadership. Evaluative data should be provided when available. Please consolidate evaluations so that only evaluations of the candidate are included in the dossier.

## FRAMEWORK FOR THE PROMOTION PROCESS

*Planning for academic advancement should begin at the time of appointment when the faculty member and departmental leadership jointly decide on the area(s) of focus that will be the concentration of the faculty member.*

The process of promotion has clearly delineated steps. The steps include specific responsibilities for the faculty member, their department and their CUIMC school's committee on appointments and promotions (COAP). Each school has a committee on appointments and promotion (COAP) to consider "At CUMC" faculty appointments and promotions. School COAP committees consider each area of focus and the sum of accomplishments in all three of areas of focus.

Please consult your school's COAP guidelines for more information:

- Vagelos College of Physicians and Surgeons: https://www.ps.columbia.edu/faculty-development/faculty-diversity/academic-appointments
- Mailman School of Public Health: https://www.mailman.columbia.edu/sites/default/files/pdf/03_coap_guidelines.pdf
- School of Nursing: http://nursing.columbia.edu/academics/division-academic-affairs
- College of Dental Medicine: https://www.dental.columbia.edu/faculty/faculty-development/academic-appointments-titles

Collectively, these steps require both faculty and departmental processes (see process diagram below).
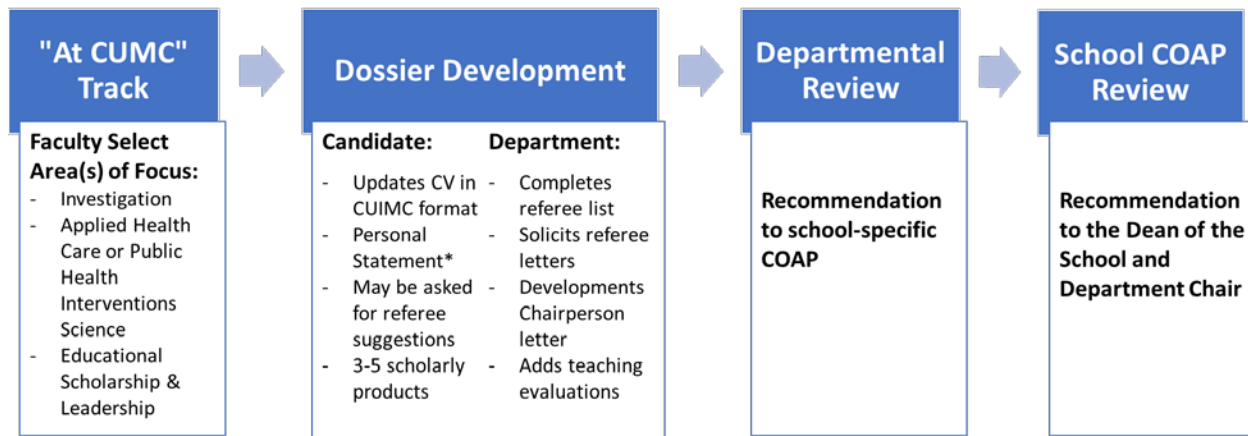
### Dossier Development:

1. The process starts with the individual faculty member identifying their area(s) of focus, reviewing and updating their CUIMC CV (www.ps.columbia.edu/faculty-development/faculty-diversity/CUIMC-CV), writing a personal statement and then collaboration as per the department to develop a list of referees who can evaluate his/her work.
2. The referee list is reviewed and completed by the department (see guidelines below), and referee letters are solicited by the department.
3. The department chairperson writes a letter describing why the faculty member should be advanced in rank.
4. Teaching evaluations may be provided by either the department and/include electronic evaluations or letters from advisees/mentees.
5. Scholarly products chosen by the candidate in collaboration with mentors or department leaders are included.

### Departmental Review:

The promotion dossier is referred first for *departmental review*. A departmental review of the dossier provides for departmental assessment of promotion readiness of the candidate. If the committee and department's Chair recommend the faculty member for promotion, that dossier, in addition to a formal letter from the Chair, is forwarded to the School COAP committee for consideration.

These materials area described in detail below.

Figure 2: The Promotion Process for Faculty with the "At CUMC" Title

| "At CUMC" Track | Dossier Development | Departmental Review | School COAP Review |
|---|---|---|---|
| **Faculty Select Area(s) of Focus:**<br>- Investigation<br>- Applied Health Care or Public Health Interventions Science<br>- Educational Scholarship & Leadership | **Candidate:**<br>- Updates CV in CUIMC format<br>- Personal Statement*<br>- May be asked for referee suggestions<br>- 3-5 scholarly products<br><br>**Department:**<br>- Completes referee list<br>- Solicits referee letters<br>- Developments Chairperson letter<br>- Adds teaching evaluations | **Recommendation to school-specific COAP** | **Recommendation to the Dean of the School and Department Chair** |

## ORGANIZING THE PROMOTION DOSSIER, INCLUDING QUALITATIVE METRICS

A faculty dossier for consideration for promotion provides the documentation of the quantitative and qualitative value of a faculty member's academic contributions. For example, academic productivity may include accomplishments in one, two or all three areas of focus. Promotion dossiers should define and illustrate the quality, impact, and diversity of the contributions of the candidate to CUIMC and beyond.

### 1. THE CUIMC CV

***The CV is a chronological list of academic activities that should also reflect excellence, innovation and enduring impact within CUIMC, the community, the region, national, and international domains.*** The [CUIMC CV](https:www.ps.columbia.edu/faculty-development/faculty-diversity/CUIMC-CV.) requires a specific format to be followed, and is available at ([https:www.ps.columbia.edu/faculty-development/faculty-diversity/CUIMC-CV.](https:www.ps.columbia.edu/faculty-development/faculty-diversity/CUIMC-CV.))

***Evaluable quality, impact and dissemination*** of academic activities and scholarly products may be clarified by selective, *concise annotation* of the CV. It should be annotated such that honors, awards, achievements and contributions for all relevant areas of focus are readily apparent to reviewers (internal and external).

### 2. DEPARTMENT CHAIR LETTER

Letters from the department chair(s) should address the faculty member's accomplishment within his or her area(s) of focus, considering accomplishments, impact, importance to the department, special strengths or abilities, and teaching evaluations. Faculty with appointments in more than one department would need a chair's letter from each of those departments or a joint letter signed by all chairs

### 3. PERSONAL STATEMENT

A Personal Statement is required by departments as part of the promotion package. A personal statement, limited to 2-3 pages, should explain the accomplishments that the candidate has made in each of the relevant area(s) of focus. Candidates should summarize accomplishments by area of focus and consider quantity, quality, significance, and impact. Where possible, metrics of accomplishments are useful. Statements should also provide a sense of direction to help in the evaluation of future potential.

The statement should describe both past and ongoing scholarly and educational activities within the area of focus (or foci) in *which the faculty member makes the most important academic contributions*. These activities should reflect and potentially integrate the content of each area of academic focus contained within the CV.

The Personal Statement allows the candidate to articulate future goals as well, particularly as they are likely to contribute to one's current or emerging reputation as a member of influence within one or more academic communities.

Although the CV provides a chronological record, the Personal Statement provides a narrative from the candidate's perspective of the key contributions by area of focus. *Input from mentors, colleagues and/or supervisors* can be useful in drafting a personal statement.

*Points to be covered:*

    a.   Describe the main area(s) of focus and the themes that flow through your work.

    b.   Describe any special education and/or training you have obtained: clinical, education, research, leadership.

    c.   Describe your professional accomplishments, leadership and impact by area(s) of focus and how these aspects fit together.

    d.   Describe your teaching and mentorship activities, other important educational activities and impact on learners.

    e.   Describe ongoing/planned projects that showcase the themes of your work.

    f.   Describe your future short- and long-term goals.

*Area-specific considerations for content of the Personal Statement:*

- **Applied Healthcare/Clinical care/ Public health:**
  The Personal Statement could include areas of special clinical expertise, program development, quality improvement activities, key outcomes for patients, dissemination of care paradigms, and clinical evaluation data about your performance, role(s) on clinical/quality committees, honors and leadership roles, as well as clinical scholarship.

- **Educational Leadership and Scholarship:**
  The Personal Statement should include the major accomplishments that the candidate has made in the educational sphere, including innovations the faculty member has introduced and accomplishments associated with specific roles and responsibilities in education. In addition, the Statement should include overall teaching philosophy or pedagogical approach in these roles, description of the faculty member's primary goals and roles as an educator, contributions within these roles, and how they envision shaping medical education at CUIMC and/or beyond. It should describe the growth in scope as well as variety of educational activities. Accomplishments could include the development of curricular/instructional materials, improvements to training programs and courses, professional education development (e.g. certificate course), print or electronic media of enduring educational materials. Materials to help faculty consider and describe educational activity is available.

- **Investigation:**
  The Personal Statement should emphasize the impact of the candidate's research roles. The context and description of the impact of key findings; detail any practice changes that resulted from research findings; innovative models that were used or shared with others, etc.  External research support should be mentioned, along with the candidate's role on the project.

- **Administrative Leadership Roles:**
  The Personal Statement should also include any substantial contributions faculty make outside of their area(s) of focus. These activities are often recognized by peers and leaders as outstanding and high impact contributions inside and/or outside the institution. They may include leadership roles within the department, Columbia University, hospital, or in professional societies (e.g. service to Committee on Appointments and Promotions (COAP), leadership roles in diversity and inclusion, faculty affairs, faculty development, wellness, compliance, etc.). Such roles may also include professional consultative roles,

advocacy roles, and appointments to regional, national, and/or international committees related to administrative roles or the areas of focus.

## 4. SCHOLARLY PRODUCTS

Identification of 3-5 products is required that are appropriate for the proposed academic rank and area(s) of focus (*see section* C below). Products should demonstrate 3 qualities:

1. *quality recognized by peers,*
2. *enduring impact and*
3. *dissemination* at local, regional or national levels (depending on rank).

The type of products selected will vary with the area of focus and with academic rank. A faculty member need not have examples of every type of evidence in their dossier, but a sample that supports quality and impact in the area(s) of academic focus, and is quantitatively appropriate to the academic rank should be included. The following types of accomplishments are particularly important and may be annotated.

## 5. TEACHING AND EDUCATIONAL ACTIVITIES:

Teaching and educational activities are required for all faculty promotion, and could include:

- Direct teaching, in any setting with receipt of learner evaluations
- Mentorship, advising, counseling
- Development of educational syllabi, assessment tools

*Teaching evaluations* are required from CUIMC (and previous institutions, if relevant) across the spectrum of learners including outside lectures, students, trainees, professional and the public. *Evaluations* should be collated by a process that is independent of the teaching faculty member. More extensive teaching evaluations are generally required for those in the Educational Leadership and Scholarship area of focus.

## 6. REFEREE LETTERS

Letters recommending promotion should come from at least 10 (and no more than 15) referees. *Table 1* delineates the number of required referee letters, by rank and primary area of focus.

- A limited number of letters can be submitted from candidate's home department (depending on rank of applicant – see *Table 1*)
- Letters from CUIMC faculty outside of candidate's home department as appropriate
- Letters from outside CUIMC that attest to candidate's reputation

Table 1: Referee Letters for the "At CUMC" Title Track

|  | Investigator | Applied Health | Education |
|---|---|---|---|
| ***Associate Professor*** | *Emerging regional reputation*<br><br>**At least 5 letters from outside CU** | *Expertise beyond dept. (CUIMC & emerging regional)*<br><br>**At least 3 letters from outside CU** | *Expertise beyond dept. (CUIMC & emerging regional)*<br><br>**At least 3 letters from outside CU** |
| ***Professor*** | *National/International reputation*<br><br>**At least 5 letters from outside CU** | *National presence (participation at national level in discipline)*<br><br>**At least 4 letters from outside CU** | *National educational presence*<br><br>**At least 4 letters from outside CU** |

A standardized template for solicitation of referee letters to be used by departments is available to departments.

Additionally,

- Referees must be at equal or higher academic rank to the proposed rank
- Referees should be asked to specifically comment on quality and enduring impact of the faculty member's work *in the area(s) of focus*
- Letters from former mentees: former trainees, former students/post-docs, advisees, could be invited to write letters to evaluate teaching, mentoring, advising
- Referees from outside Columbia:
  - May include collaborators with the candidate for the past five years who can attest to their contributions (no more than 2 letters)
  - If the referee is from outside of academics, their position should be equivalent to or higher than the rank to which the applicant is applying

## CHARACTERISTICS AND SCHOLARLY PRODUCTS BY AREAS OF FOCUS

These lists are intended to be thorough but may not be all-encompassing as very unique activities may not be captured.

### Applied Healthcare/Clinical care/ Public Health:

The scholarship of application of clinical or public health sciences consists of the interaction between knowledge and its practical use, shifting theory to practice and practice to theory. Translation of evidence to practice are examples of the scholarship of applied health sciences and public health sciences. This emphasizes the scholarly application of knowledge in three domains:

- Providing care
- Developing/implementing clinical programs
- Developing/implementing clinical programs used by others

*Academic activities* might include:

a) Recognition of expertise in areas of clinical or public health
b) Program development, quality improvement activities
c) Key outcomes for patients or populations, dissemination of care paradigms
d) Clinical evaluation data about your performance
e) Role(s) on clinical/ quality committees and leadership roles
f) Clinical distinction relevant to innovative clinical programs
g) Membership in the Academy of Clinical Excellence (ACE)

*Scholarly products* might include:

a) Scholarship:
   - Guidelines, reviews, quality assurance, quality improvement (QA/QI)
   - Awards/grants for clinical or public health programs
   - Publications – clinical (e.g. case reports), reviews, treatment guidelines, chapters in textbooks or monographs, professional presentations at meetings or grand rounds
b) Development and/or implementation of new clinical programs and innovation in areas that are valued by patients and/or colleagues and recognized as important, e.g. a novel, highly specialized or interdisciplinary program or approach to patient care
c) Appointment to division chief and other internal leadership roles (i.e. departmental or hospital-based)
d) Establishment of quality improvements or systems-based changes that result in enhancement of the care provided to patients. Programs that would change the scope and/or nature of practice or problem-solving– e.g. quality improvement initiative, improved usability and impact using medical records, patient safety.
e) Peer recognition as a health care professional delivering high quality care and/or related patient services – e.g. evidence for an excellent reputation as an authority, or exemplary clinical leadership in a clinical area within CUIMC, the region and/or nationally. Measures could be the assessment of:
   - Clinical acumen or authority generally or in specific area(s), diverse content and metrics
   - Clinical impact or leadership from unique service, interdisciplinary, innovation
   - Disseminating novel approach/treatment/procedure

- Leadership in team-building for the organization or provision of care or interventions
- External peer recognition

f) Excellence in the scholarship of practice, as well as publications and invited presentations: demonstration of dissemination of peer reviewed data and expertise in the form of invited presentations (e.g. Grand Rounds), clinical practice guidelines, seminars, digital media, simulations, small group activities with peer reviewed data, and internal benchmarking.

- Invited lectures, demonstrations, workshops or panel discussions regarding clinical care

g) Service to the community, such as the CUIMC community, public service or community health. Activities could include:

- Programmatic activities for improved population health status or health information
- Participation or leading outreach to the general public, patients, providers

*Scholarly Products* that would be appropriate include publications, including case reports, expert consensus statements, policy statements, recognition based upon activities that impact practice paradigms and patient or population outcomes. Many such products are listed above. Additional products may include:

a) Practice or policy development

- Innovative public health program with evidence of impact
- Innovative clinical program/influence on clinical practice w evidence of impact
- Innovative treatment program with evidence of impact
- Public health policy/interventions development

b) Global programs for health, public health

- Development, implementation and evaluation of public health interventions
- Provide education/prevention/care to underserved populations globally
- Strengthening local capacity to provide quality health care

## Educational Scholarship and Leadership:

Those with a focus in educational leadership would have accomplishments, including leadership, innovation and accomplishment associated with specific roles and responsibilities in education. In this area, leadership roles and positive teaching evaluations are essential. This area of scholarship emphasizes the interdependence of theory, research, and practice in three related domains:

- Direct involvement in the process of promoting learning
- Support of infrastructure needed for learning
- Development of products used by others in learning

*Academic domains* that may demonstrate excellence, experience, and evidence of leadership and engagement in areas of medical education are:

a) Direct teaching
b) Precepting or supervising
c) Instructional development and curricular design
d) Advising and mentorship
e) Educational administration

f) Educational research or publication
g) Development of educational theory or practice
h) Performance assessments
i) Membership in the Apgar Academy of Medical Educators

The value of individual faculty accomplishments within the domains of the educator area of focus vary. Evidence of <u>quantity</u> tends to be countable units such as contact hours, number of learners, numbers of pages, and so forth.  Evidence of <u>quality</u> tends to be based on learner or peer perceptions of process (i.e. learner ratings of teaching) or the degree to which objectives were achieved (i.e. student test scores).  Evidence of scholarship is based on peer review and subsequent inclusion of the methods and/or outputs into a 'shared understanding' within meaningful communities of practice. These communities can be local (e.g. local residency program directors), regional (e.g. geographically based subgroups within a professional society), national or international (interest group within a professional society).

*Academic activities* might include:
Involvement in the process of learning, support of the infrastructure needed for learning, or development of novel ways to provide educational products used for learning:

- Teaching in courses for, precepting or mentoring of students, trainees (residents, fellows) or faculty
- Educational investigation
- Key roles in the development and dissemination of innovative methodologies or materials for reaching or assessment that have impact at internal, regional, national or international levels
- Key roles focused on educational guidelines, policy or practice
- Educational service for institutional, local, regional, national or international venues
- Visiting lectureships
- Preparing or administering knowledge or performance assessments
- Course development and leadership at CUIMC or nationally
- Curricular development and leadership at CUIMC or nationally
- Leadership on education governance committees and task forces
- Involvement on local, regional or national committees that set curriculum guidelines/standards

*Scholarly products* could include the development of educational products used for learning, documentation of educational investigation or innovation or development of the theory or infrastructure of teaching and learning. Products could be in print, electronic or simulation formats with recognizable quality and enduring impact:

- Development of new curricular or instructional materials, improvements to training programs and courses, professional education development (e.g. certificate course), educational materials, case or simulation scenarios, image libraries, novel education methodology or assessment tools
- Publications related to education, including innovations in teaching methods, chapters in textbooks or monographs
- Scholarly products such as new curricular offerings, course syllabi, teaching demonstration materials in print or in electronic formats, presentations at educational forums,
- Instructional videos, laboratory manuals, web-based resources for training and education

- Presentation of work at peer-reviewed professional meetings

## Investigation:

Evidence for this area of focus should emphasize discovery and the generation of new knowledge, analysis, synthesis and/or novel applications of existing knowledge, as well as positioning knowledge within larger, interdisciplinary contexts.

*Academic activities* would be focused on: peer reviewed publications, investigational leadership or contribution through special roles, receipt of competitive funding, recognition of substantial contributions to the field(s), development or use of new technologies or approaches.

Research may be in any discipline related to health sciences, including but not limited to:

a) Laboratory research
b) Clinical and translational research
c) Population based research
d) Health services/Policy/Economics
e) Outcomes research
f) Biostatistics, Bioinformatics
g) Novel applications of existing technologies or treatments
h) Multidisciplinary research team membership with a critical, unique role
i) Pedagogical research

*Evidence* may be demonstrated through:
a) The *quality* and *quantity* of:
   - Authorship or co-authorship in peer-reviewed papers with substantial contributions associated with certain context or impact of findings;
   - Practice changes that resulted from research findings
b) Research accomplishments:
   - Contributions to research field(s) through leadership and/or substantive contributions
   - Development or utilization of new technologies or approaches
   - Development of knowledge resulting in new technologies or novel applications
   - Successful attainment or participation in competitive research support. Roles on the project could include research publication in high-impact journal, as lead or senior author or among a team of investigators

*Scholarly products or accomplishments* could include:

- Authorship or co-authorship in research publications in peer-reviewed journals
- Leadership or key participation in the development and publication of chapters, reviews, commentaries, professional guidelines, white papers, policy statements or commentaries
- Attainment of competitive internal or external funding as PI or through other key roles
- Participation in clinical trials, site PI, registries or other key research, where funding is from government, private or industry sources

- Technology development
- Innovative clinical technology or invention or application with evidence of impact
- Committee leadership or membership for peer review of grants (study sections), manuscripts or abstracts for key meetings, policy development
- Membership through invitation on expert panels or steering committees
- Membership on editorial boards, grant review boards or scientific advisory committees
- Leadership in professional societies
- Invited visiting professorships
- Invited presentations