

Appendix Ic: GUIDELINES FOR EXCELLENCE IN THE COMPONENTS BY RANK

RESEARCH

Research — Associate Professor

Demonstrable success in developing and sustaining an identity as an independent investigator with an area of focused expertise, as evidenced by:

- Intellectual stewardship of a sustained program of research over time, which may include:
 - Continuity, with sequential hypothesis generation and testing
 - More than one line of research
 - Research funding
 - support of sustained research program through renewal or new grants or contracts as principal or co-investigator
 - obtained from organizations with competitive peer review processes
 - may include funding from other sources
 - may include meritorious peer-reviewed grant applications (e.g., outstanding priority scores) even if not funded
- Publications in peer-reviewed journals
 - Quality as a primary determinant
 - Journal eminence
 - Demonstrable impact in advancing the field and creating new knowledge
 - Originality
 - Significance
 - Influence on subsequent work by others
 - Number of publications may vary, as the number and timing of publications are of importance primarily as evidence of sustained research productivity
 - Authorship demonstrating stewardship of the intellectual content
 - First or senior author
 - Co-authorship of papers first-authored by mentees
- For some, may include patents or inventions
 - Impact in advancing the field as evidenced by:
 - Originality
 - Significance
 - Influence on subsequent work by others (e.g., evidence of licensing)
- For some, may include research collaborations
 - Demonstrable contributions to multidisciplinary research teams and/or other collaborative professional or community groups, as appropriate to the field and scientific goals
 - Scientific or technical expertise playing unique and critical role(s) in team research
 - Role(s) demonstrating stewardship of at least some defined portion of the intellectual content

Research — Professor

Continued and sustained excellence as an independent investigator, with evidence for any of the following:

- Broader scope, in content area or in multidisciplinary collaborations
- Greater originality or innovation
- Greater impact on the field
- Necessarily should include independent or collaborative funding and publications records consistent with greater level of distinction and preeminence as a scientist

SCHOLARSHIP

Scholarship — Associate Professor

Demonstrable success in developing and sustaining a distinct identity as a scholar with an area of focused expertise, as evidenced by:

- Publications
 - May include any of the following
 - Peer-reviewed journals (at least some publications *must* be in this category)
 - Review papers
 - Book chapters, monographs, or books
 - Other written professional communications
 - Written communications to non-professional audiences (if relevant to area of expertise)
 - Quality as a primary determinant
 - Demonstrable impact in advancing the field
 - Originality
 - Significance
 - Influence on subsequent work by others
 - Number of publications may vary, as the number and timing of publications are of importance primarily as evidence of sustained research productivity
 - Authorship demonstrating stewardship of at least some of the intellectual content
 - First or senior author
 - Co-authorship of papers first-authored by mentees
- Other scholarly products
 - Examples may include
 - Course syllabi
 - Teaching manuals or other teaching materials
 - Policies, procedures, or other administrative materials
 - Audio, video, software, or other media projects
 - Patents or inventions (including evidence for impacting the field, e.g., licensing by others)
 - Evidence that these products are scholarly may include either of the following
 - Fulfills the 3 'Ps'
 - A clear Product that can be reproduced and built upon
 - Is open to Peer review
 - Is disseminated Publicly
 - Fulfills Glassick criteria
 - Clear goals
 - Adequate preparation
 - Appropriate methods
 - Significant results
 - Effective presentation
 - Reflective critique
- Funding
 - Competitive funding to support scholarship is *not* required
 - However, for some types of scholarship, evidence of grant funding as PI or in other roles may be
 - Necessary or helpful to enable the work's success
 - Evidence toward fulfilling the criteria for scholarship above

Scholarship — Professor

Continued and sustained excellence as a scholar, with evidence for any of the following:

- Broader scope, in content area or in multidisciplinary collaborations
- Greater originality or innovation
- Greater impact on the field
- Necessarily should include a publication record consistent with greater level of distinction and preeminence as a scholar

INSTITUTIONAL SCHOLARSHIP

Institutional Scholarship — Associate Professor

Demonstrable success in providing expertise that contributes substantially to the Medical Center academic mission with collaborations across multiple Departments or Centers, as evidenced by:

- Evidence of broad institutional impact as reflected by collaborative funding, publications, or other activities or products typically reflecting work done across several Departments, Centers, or other areas of URMCMC
 - Criteria for judging excellence of funding or publications similar to that described under Research and Scholarship, except that for Institutional Scholarship, collaborative funding and publications may suffice, i.e., the emphasis may not be on independent funding or stewardship of the intellectual content
- For some, principal interests may be in development and successful implementation of academic or technical core facilities and/or in the leadership and administration of technical programs that are critical to the success of research endeavors across multiple areas of URMCMC, including:
 - Leadership in the development and administration of technical core facilities, with documented commitment toward the development and successful implementation of innovative technologies and approaches (i.e., more than simple and competent managerial oversight in a service capacity)
 - Broad institutional service contributions in training
- For some, principal contributions are in the form of unique institution-wide administrative contributions that have a significant impact on the core missions of URMCMC
 - Such contributions may include leadership of efforts to improve quality of clinical care, patient safety, clinical compliance plans and policies, or other similar activities
 - Such contributions will be judged by their institutional impact and importance, and it is expected that the faculty member's contribution will be clear, substantial, and unique
 - Since administrative contributions of this kind may not present opportunities for scholarship or formal teaching, evidence for research scholarship or formal teaching is not required in this case
- For most, demonstrable success in developing and supporting scholarship in the institution with an area of focused expertise, as evidenced by any of the following:
 - Publications
 - May include any of the following
 - Peer-reviewed journals (at least some publications *must* be in this category)
 - Review papers
 - Book chapters, monographs, or books
 - Other written professional communications
 - Written communications to non-professional audiences (if relevant to area of expertise)
 - Quality as a primary determinant
 - Demonstrable impact in advancing the field
 - Originality
 - Significance
 - Influence on subsequent work by others
 - Number of publications may vary, as the number and timing of publications are of importance primarily as evidence of sustained research productivity
 - Authorship demonstrating stewardship of at least some of the intellectual content
 - First or senior author
 - Co-authorship of papers first-authored by mentees
 - Other co-authorship with distinct contribution of conceptual, technical, or other expertise
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Other scholarly products

- Examples may include
 - Course syllabi
 - Teaching manuals or other teaching materials
 - Policies, procedures, or other administrative materials
 - Audio, video, software, or other media projects
 - Patents or inventions (including evidence for impacting the field, e.g., licensing by others)
- Evidence that these products are scholarly may include either of the following
 - Fulfills the 3 'Ps'
 - A clear product that can be reproduced and built upon
 - Is open to peer review
 - Is disseminated publicly
 - Fulfills Glassick criteria
 - Clear goals
 - Adequate preparation
 - Appropriate methods
 - Significant results
 - Effective presentation
 - Reflective critique
- Funding
 - Ongoing research support obtained individually or collaboratively
 - obtained from organizations with peer review processes such as federal agencies, foundations, or industry
 - support of sustained research program through renewal or new grants or contracts

Institutional Scholarship — Professor

Continued and sustained excellence in providing expertise that contributes substantially to the Medical Center academic mission with collaborations across multiple Departments or Centers, with evidence for any of the following:

- Deeper expertise in one or more defined areas
- Greater contributions to the field or the Medical Center missions
- Necessarily should include evidence for eminence in institutional contributions, such as:
 - Eminence in collaborative funding, publications, or other activities or products typically reflecting work done across several Departments, Centers, or other areas of URM
 - Eminence in the continued development and successful implementation of innovative technologies and approaches
 - Sustained, unique leadership and eminence in the administrative leadership of institution-wide initiatives that have a profound major impact on the core missions of URM

CLINICAL

Clinical — Associate Professor

Demonstrable success as a clinician with expertise in a particular field of patient care or other professional service, as evidenced by:

- Excellence and/or innovation in one or more domains of clinical activity
 - Direct patient care
 - Collaborative care, including consultations or team-based care
 - Administration/leadership of clinical teams/sites/systems
 - Practice improvement projects with demonstrable quality improvement
 - Support or ancillary systems or services, such as medical informatics or public/community health
 - Development and testing of assessment tools
 - Other activities as appropriate for types of professional service that are not patient care, e.g., those provided by clinical laboratory scientists, radiation physicists, sociologists, psychologists, and others, or by those engaging the community to promote health or other institutionally-relevant goals
- A defined area of clinical expertise
 - Defined by content area, approach, or method for prognosis, diagnosis, or treatment
 - Important to the field or the Medical Center missions
- Achievement in clinical excellence as demonstrated by the following
 - Peer assessments (including colleagues in other disciplines or Departments)
 - National recognition for clinical expertise
 - Other metrics demonstrating success of initiatives, systems, or practice improvement projects for which the faculty member led or made substantial contributions
 - May include measures of clinical quality and/or productivity, as appropriate to the field and if robust measures exist as judged by the Department Chair or other peers in the field

Clinical — Professor

Continued and sustained excellence as an expert clinician in a field of patient care or other professional service, with evidence for any of the following:

- Deeper expertise in one or more defined areas
- Greater clinical contributions to the field or the Medical Center missions
- Greater recognition for clinical expertise at national and international levels
- Necessarily should include evidence for eminence as a clinician

CONTRIBUTIONS TO UPMC ACADEMIC MISSIONS

Contributions to UPMC Academic Missions — Associate Professor

While many faculty members with academic appointments make crucial contributions to UPMC through clinical work and teaching without developing and sustaining a distinct identity as a researcher or scholar, such faculty members are distinguished from those with non-academic appointments (e.g., professional appointments) by substantial contributions to UPMC academic missions, which may be evidenced by any of the following activities:

- Authored or co-authored publications, including case reports, review articles, book chapters, or other written communications to professional or non-professional audiences as related to professional expertise
- Other authored or co-authored written products, including
 - Course syllabi
 - Teaching manuals or other teaching materials
 - Policies, procedures, or other administrative materials
 - Audio, video, software, or other media projects
- Participation in research, including roles providing clinical or technical expertise to the development, implementation, or interpretation of investigative work that may be led by others
- Participation in the administration of clinical, teaching, research, or community programs

Contributions to UPMC Academic Missions — Professor

Continued and sustained excellence as a contributor to UPMC academic missions, with evidence for any of the following:

- Broader scope, in content area or in multidisciplinary collaborations
- Greater originality or innovation
- Greater impact on UPMC or the field

TEACHING

Teaching — Associate Professor

Demonstrable success as an effective teacher with trainees, faculty, or other professionals, as evidenced by:

- Substantial contributions in one or more of the following areas
 - Direct teaching in research, classroom, clinical, community, or other settings
 - Mentorship
 - Career advising
 - Curriculum development / implementation
 - Educational assessment of learners, teachers, and/or curricula
 - Educational administration / leadership
- Achievement in teaching excellence
 - A clear area of teaching expertise, defined by content area, approach, or method
 - Important to the field or the Medical Center missions
 - Peer assessments (which may include colleagues in other disciplines or Departments)
 - Learner or other assessments of teaching as appropriate to the field/area/method
 - Learner outcomes as appropriate to the field/area/method
 - May include national recognition for teaching
 - Invitations to speak at other institutions or for national organizations
 - Evidence that teaching innovations are affecting others' work or are disseminated nationally
 - May include educational scholarly products
 - Excellence of educational scholarly products as described under Scholarship

Teaching — Professor

Continued and sustained excellence as an effective teacher, with evidence for any of the following:

- Greater levels of contribution to the field or the Medical Center missions
- Greater contributions and recognition for teaching at national and international levels
- Necessarily should include evidence for eminence as a teacher
- Mentoring and fostering the career development of more junior colleagues are especially valued activities for this rank

SERVICE, LEADERSHIP, & NATIONAL RECOGNITION

Service, Leadership, & National Recognition — Associate Professor

Substantive contributions including:

- Service to the Department, Medical Center, University, community, or discipline
 - Participation on committees including review or advisory committees
 - Other administrative roles
 - Peer reviewer of grants, publications, presentations
- Leadership in any of the following activities:
 - Roles as committee chair
 - Serving on committees with oversight responsibilities, e.g., editorial boards
 - Other leadership-administrative roles that may include
 - Oversight and responsibility for groups of faculty, staff, or others
 - Oversight and responsibility for designated programs or other functional areas
 - Oversight and responsibility for organizations or designated organizational subgroups
 - Significant leadership in the community related to health improvement
- Recognition outside the University of the quality and impact of accomplishments, as evidenced by:
 - Assessments by external peer referees with expertise relevant to making such assessments
 - Invitations to present work at other institutions or national professional societies
 - Invitations to join invitation-only national professional societies
 - Service or leadership roles in the discipline at the national level, e.g., with professional societies or other institutions outside the Rochester region
 - Honors or awards from organizations at the national level or outside the Rochester region
 - Elected positions in organizations at the national level or outside the Rochester region

Service, Leadership, & National Recognition — Professor

Continued and sustained excellence in service, leadership, and national recognition, with evidence for any of the following:

- Service and leadership at higher levels of administrative organization and leadership in the Department, Medical Center, University, or discipline
- National and international recognition, with a greater emphasis on achievements and recognition at the national level and (particularly for those involved with Research or Scholarship) beyond the U.S.
- Length of service, by itself, is not a sufficient justification for promotion to this rank