

## Research Policy Manual

<b>GEISINGER</b>	<i>Policy</i>	<i>Section</i>	<i>Title</i>
	802	14.0 Research	Appointment or Promotion of Research Faculty

*This policy applies to:*

<b>X</b>	<b>Geisinger Medical Center campus</b>	Geisinger Health
	Geisinger Wyoming Valley Medical Center campus	Geisinger Lewistown Hospital
		Geisinger Holy Spirit
	GMC Outpatient Surgery-Woodbine	Geisinger Holy Spirit Medical Group
		Holy Spirit Corporation
	Community Practice Service Line	Holy Spirit Ventures, Inc.
	Geisinger Community Health Services	Geisinger Holy Spirit EMS
	Marworth	Holy Spirit Health System
	Geisinger Medical Laboratories	
<b>X</b>	<b>Geisinger Clinic</b>	Geisinger-Shamokin Area Community Skilled Nursing Facility, a service of Geisinger Medical Center
	Geisinger System Services	GNJ Physicians Group
	Geisinger Gray's Woods Outpatient Surgery & Endoscopy Center	Geisinger Commonwealth School of Medicine
	Geisinger Health Plan	Geisinger Endoscopy – Montoursville
	Family Health Associates of Geisinger Lewistown Hospital	
	ISS Solutions, Inc.	
	Geisinger Gastroenterology and Endoscopy Center - Lewistown	
	Geisinger Community Medical Center	
	Mountain View Care Center	
	Geisinger Bloomsburg Hospital	
	Geisinger Bloomsburg Health Care Center	

[\[Purpose\]](#)-[\[Persons Affected\]](#)-[\[Policy\]](#)-[\[Definitions\]](#)-[\[Responsibilities\]](#)-[\[Equipment/Supplies\]](#)-[\[Procedure\]](#)  
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### PURPOSE:

The success of our research program relies on our ability to develop and maintain a vibrant and productive research faculty. This goal is accomplished by developing a clear and fair mechanism for faculty appointment or promotion to foster career growth. The Research Faculty structure at Geisinger includes two career series or ladders:

- Research Professorial ladder; and
- Clinical Professorial ladder.

Each of these career ladders consists of three levels or ranks (see Appendix A). Initial appointment is determined by a thorough review

and evaluation of the candidate's scientific maturity and accomplishments by the Program Director and Chief Scientific Officer (CSO) at the time of hire. Promotion marks advancement through the ranks within the career ladder and is based upon demonstrated professional growth and accomplishment. The following areas are evaluated: 1) research; 2) service to the Research Department, Geisinger, society, and the profession; 3) scholarship and teaching; and, if applicable, 4) patient care activities.

Promotions are not automatic and are not dependent upon time in rank. Promotion reviews are conducted and approved by the Faculty Affairs Committee (FAC), Scientific Advisory Board (SAB), and CSO.

#### **PERSONS AFFECTED:**

This policy applies to all Research Faculty employed by Geisinger.

#### **POLICY:**

It is the policy of Geisinger Research that decisions regarding Research Faculty appointments or promotions are made fairly and in accordance with established criteria and procedures. Each evaluation uses the following areas to assess either initial appointment or promotion, with the evaluation for promotion being based upon increasing scientific independence and maturity:

- 1) research
- 2) service to the Research Department, Geisinger, society, and the profession;
- 3) scholarship and teaching; and, if applicable,
- 4) patient care activities.

The stringency of the promotion review is dependent upon the career ladder and rank. Faculty members in the Research Professorial series are expected to spend at least 80% of their effort devoted to the conduct of original research with the remaining 20% effort directed to clinical, educational, and/or service activities. Faculty members in the Clinical Professorial series are expected to devote at least 40% effort to research activities with the remaining 60% effort directed to clinical, educational, and/or service activities. There is no time limit on the period of employment at the same rank; however, typically it is expected that one will remain in rank for no more than two consecutive terms.

#### **PRINCIPLES AND PROCEDURES:**

Assignment of initial appointment is determined by a thorough review and evaluation of the candidate's scientific maturity and accomplishments by the Program Director at the time of hire. The Program Director's recommendation for rank is forwarded to the Chief Scientific Officer (CSO) for approval prior to an offer letter being presented to the candidate.

Candidacy for promotion is initiated by a discussion between a faculty member and his or her Program Director. At the request of the Program Director, the candidate prepares and submits a dossier to begin the formal promotion review (Appendix B). If, after review of the promotion dossier, the Program Director does not support promotion of the faculty candidate, the faculty member may appeal to the CSO. The request for promotion review must be supported by the Program Director or CSO to move forward. The promotion review packet, including the candidate's dossier and a nomination statement from the Program Director or CSO, is forwarded to the Chair and Administrative Co-Chair of the FAC.

The Chair and Administrative Co-Chair of the FAC will review the promotion packet and select individuals from the provided reference list or elsewhere to provide references. Criteria to be considered include nature of relationship with faculty member, stature (department chairs, directors, acknowledged leaders, etc.), and rank (at the Professor or Associate Professor level in the case of promotion to that rank). Requests for reference letters will be sent out through the FAC Administrative Office and tracked to keep the process on a timely schedule. Once the packet is complete with the required number of letters, it will be forwarded to the FAC to begin the review process.

The completed promotion packet is reviewed by the FAC at a convened meeting with a quorum. The FAC evaluates and summarizes the candidate's merit for promotion and sends the summary report to the SAB. In the event of dissenting opinion within the FAC, a minority opinion may be included with the committee summary. The SAB provides an independent assessment of the candidate's qualifications for promotion and forwards their recommendation along with the FAC summary report to the CSO. The CSO utilizes the input from the FAC and SAB to make the final decision regarding the outcome of the promotion review. The promotion decision is provided in writing to the faculty candidate and Program Director.

#### **Criteria for Initial Appointment or Promotion:**

In evaluating the candidate's qualifications for appointment or promotion, competency and achievement in the following areas are essential:

- 1) Research productivity includes publication and impact of original peer reviewed research articles, a track record of sustained independent or collaborative extramural research funding, and investigator status. It may also include development, dissemination or implementation of innovative programs, enhancement of a service, or systems improvement to the organization.
- 2) Service includes, but is not limited to, departmental and institutional service, as well as service to the local research community,

governmental agencies, and national or international academic societies.

3) Scholarly activity includes contributions to the literature in the form of peer-reviewed manuscripts, chapters, or books, participation in invited lectureships, development of new methods, tools, or systems processes.

4) Teaching activities include didactic lectures, development of educational workshops, curriculum development, participation in residency/fellowship programs, as well as teaching in a laboratory or clinical setting. Mentoring relationships with undergraduate or graduate level students, postdoctoral fellows, medical students, residents, and junior faculty that support their professional development and promote excellence in research will also be considered.

Although institutional good citizenship, exemplified by active engagement/participation in work group and departmental activities, demonstration of C.I. CARE characteristics, etc., and collegiality are not independent criteria for promotion, these characteristics are necessary for a faculty member to contribute to programmatic, departmental, and institutional success. In assessing these characteristics for a particular candidate, reasonable flexibility will be exercised. Since emphasis on multidisciplinary team based science may represent a departure from typical promotion review, care will be taken to allow flexibility while maintaining high faculty standards.

**• *Criteria for appointment or promotion to the rank of Assistant Professor or Assistant Professor, Clinical Research:***

Appointment or promotion to this entry level faculty position is based upon professional development and scientific accomplishments and is not related to the length of time as an Instructor or in a Staff Scientist, Postdoctoral Fellow, or other non-faculty position. For appointment or promotion to the rank of Assistant Professor or Assistant Professor, Clinical Research, the candidate must demonstrate a clear promise of scientific productivity as demonstrated by 1) mentoring committee reports (as applicable); 2) submission of applications for external funding from national agencies such as NIH, independently or as a member of a research team; for unfunded applications the review panel critiques will be considered; 3) contributions to new knowledge in a specific area of research as documented by publications in peer-reviewed journals; the quality of the publications, as determined by impact factors and other quantitative and qualitative measures, will be considered; 4) service activities within the Research Department and/or Geisinger (e.g., membership on committees, participation in research activities such as workshops, seminars and faculty meetings), and service activities related to the profession and/or the public (e.g., peer review service); 5) competency in teaching and/or research training as demonstrated by supervision of support staff, medical, graduate, and undergraduate students; and 6) a commitment to good citizenship (as defined above) in the Geisinger Research program.

**• *Criteria for appointment or promotion to the rank of Associate Professor or Associate Professor, Clinical Research:***

Appointment or promotion to the rank of Associate Professor or Associate Professor, Clinical Research occurs when the faculty member demonstrates clear and sustained evidence of excellence in the discovery and dissemination of new knowledge. The criteria are similar to the those listed above but require increasing, tangible evidence of growing independence, scientific maturity, and achievement of a national reputation within the research community. The candidate for appointment or promotion to Associate Professor or Clinical Associate Professor must demonstrate: 1) contributions to an independent or team based research program that has contributed new knowledge to the relevant areas of investigation; 2) evidence of independent scholarship, especially through authorship on high quality peer review publications specific to the discipline; 3) evidence of success in obtaining extramural funding supporting the research program; 4) an established national and emerging international reputation, including invitations to speak at national meetings, service on study section or ad hoc grant review committees, and ad hoc reviewer for peer review journals; 4) a record of service to the organization, profession, and the public including service on internal and external committees; 5) active participation in teaching and research training as demonstrated by supervision of undergraduate and graduate-level students, postdoctoral fellows, medical students, residents, and other trainees; and 6) a commitment to good citizenship and the Geisinger Research program. Mentoring committee reports must be provided in support of the request for promotion.

**• *Criteria for appointment or promotion to the rank of Professor or Professor, Clinical Research:*** Appointment or promotion to the senior level of each career ladder requires clear and unambiguous evidence that the candidate has a sustained, eminent record of achievement recognized at the national and international level. Promotion to this rank is based upon professional development and scientific accomplishments and is not related to the length of time as an Associate Professor or Associate Professor, Clinical Research. Candidates for appointment or promotion for the highest academic rank must demonstrate: 1) leadership of an independent or team-based research program that has contributed new knowledge to the relevant areas of investigation; 2) evidence of sustained, independent scholarship, especially through senior authorship on high impact, peer reviewed publications specific to the discipline; 3) evidence of leadership or essential contributions to sustained nationally competitive and peer reviewed extramural funding from multiple sources, resulting in a history of sustained ongoing funding; 4) a national and international reputation, including invitations to speak at national meetings, service on federal study section or ad hoc grant review committees, service on editorial board, and ad hoc reviewer for peer review journals; 5) a record of service to the organization, profession, and the public including service on internal and external committees; 6) active participation in teaching and research training as demonstrated by mentoring of junior faculty and supervision of undergraduate and graduate-level students, postdoctoral fellows, medical students, residents, and other trainees; and 7) a commitment to good citizenship and the Geisinger Research program.

***Conducting the Promotion Review:***

As noted, an investigator seeking promotion begins the process with a discussion of promotion readiness with his/her supervising

Program Director (department, institute, or center Director or Chair). If the Program Director agrees that the candidate is ready for formal promotion review, the candidate submits a completed promotion dossier (Appendix B) and a list of five potential referees (both internal and external to Geisinger) that may be used to establish and evaluate the scientific accomplishments of the candidate. Referees for promotion must be individuals of higher academic rank than the candidate. For promotion to Assistant Professor/Clinical Assistant Professor, all five referees may be from within Geisinger. For promotion to Associate Professor/Clinical Associate Professor, at least two of the five references must be from external reviewers. Candidates for promotion to Professor or Clinical Professor must include a minimum of three external reviewers and are encouraged to include at least one international reviewer. The final number of letters used as part of the promotion process may be higher than five and letters may also be requested from individuals not on the list provided as part of the faculty member's dossier.

The Chair and Administrative Co-Chair of the FAC review the dossier and develop a list of potential reviewers that may include the reviewers suggested by the candidate. The Administrative Co-Chair of the FAC, with assistance from the administrative office, solicits letters from both internal and external referees. When all reference letters are received, the completed promotion packet containing the candidate's dossier, a minimum of five reference letters, and the Program Director's statement of support is prepared for initial FAC review.

If, after review of the promotion materials, the Program Director does not support promotion of the faculty candidate, the faculty member may appeal to the CSO. If the CSO supports the request for promotion review, the candidate's dossier may go forward as outlined above with a letter of support from the CSO rather than the Program Director. Information contained within the promotion packet is used by the FAC, SAB, and CSO to evaluate the scientific merit of the candidate according to the criteria listed above.

The FAC will conduct a review of the promotion packet and provide a written summary of the candidate's merits with regard to promotion to the SAB. The SAB will provide an independent assessment of the candidate's qualifications for promotion, including, as appropriate, additional external reviews, and forward their recommendation, along with the FAC summary report, to the CSO. The CSO utilizes the input from the FAC and SAB to make the final decision regarding the outcome of the promotion review.

#### ***Outcome of the Review:***

Promotion of faculty members requires favorable review by the FAC, SAB, and CSO. The results of the promotion review will be communicated to the candidate and his/her Program Director in writing by the CSO and will include the terms for subsequent appointment and time frame for future review.

#### **Appendix A. [Research Faculty Structure at Geisinger](#)**

#### **Appendix B. [Dossier for Reappointment Review of Geisinger Research Faculty](#)**

#### REFERENCES:

<https://senate.ucsf.edu/sites/default/files/2016-12/FacultyHandbook-UCSF.pdf>

#### Document Information

<i>Developed</i>	<i>Revised/Reviewed*</i>	<i>Policy Owner</i>	<i>Approved by</i>	<i>Date</i>
12/06/2017	01/19/2018	Faculty Affairs Committee Chairman	Associate Vice President Chairman	01/19/2018 01/19/2018
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