



Faculty Mentoring and Professional Development Guidelines (November 2019)

Penn Dental Medicine is committed to the recruitment and retention of excellent faculty. A mentoring system for all junior faculty (Assistant Professors in the Tenure, Clinician Educator, Academic Clinician and Research Tracks, as well as Associate Professors in the Tenure Track who have not yet achieved tenure) is fundamental to the attainment of that goal. The purpose of these Faculty Mentoring Guidelines is to provide guidance for junior faculty, mentors and department chairs during the years leading up to promotion to Associate Professor and/or tenure, and to ensure the ability of junior faculty to succeed at each reappointment and ultimately promotion. These guidelines should provide opportunities for professional development of mid-level or more senior faculty.

Program Oversight

Oversight and support of the Mentoring Program will be provided by the Director of Faculty Advancement and Diversity, who reports quarterly to the Dean about the program.

Professional Development Plan

The Department Chair will prepare a draft Professional Development Plan that provides the proposed break-down of responsibilities of the candidate by percent effort devoted to scholarship/research, clinical services, teaching and administration, as well as a brief description of goals in each area ([Appendix 1](#)). This draft document will be shared with the mentoring committee for their input and comments. A final Professional Development Plan (signed by the Department Chair, the Chair of the Mentoring Committee and the Mentee) will be used for mentoring purposes. This document should be updated annually. The expectations for faculty in each of the four full-time tracks can be found in [Appendix 2](#).

Assigning Mentors

Standing Faculty. A Mentoring Committee will be formed for each junior faculty member in the Standing Faculty (Tenure and CE Tracks), in consultation with the Department Chair and the Director of Faculty Advancement and Diversity, within the first four months after appointment. Each mentoring committee will be comprised of at least 3 faculty members, including the Department Chair, if he/she wishes to participate. One member of the Mentoring Committee should be a research (Basic or Clinical Science) mentor who can help guide the junior faculty member in scholarly development. If appropriate, this individual may be from a department other than that of the junior faculty member or from a component of the University other than Penn Dental Medicine.

- One member must be a Full Professor in the Standing Faculty who is familiar with the requirements of the Penn Dental Medicine appointment and promotion process.
- The committee shall select a Committee Chair (who is not the Department Chair).
- When appropriate, new members of the mentoring committee can be recruited at the request of the mentee or the Committee Chair.

Academic Clinician Track. Two or more mentors will be assigned to each junior faculty member in the Academic Clinician Track, in consultation with the Department Chair and the Director of Faculty Advancement and Diversity. They should be faculty members who are familiar with either the teaching or clinical commitments (or both) of the mentee.

Research Track. In most cases, Research Track faculty will work in the laboratory of a senior faculty member, who will serve as a mentor, although additional mentors may also be appointed at the request of the mentee. In cases of independent Research Track faculty, the Department Chair in consultation with

the Director of Faculty Advancement and Diversity will appoint two or more senior faculty members with expertise in the mentee's area of research as mentors.

Responsibilities of Mentors

Mentors are expected to help junior faculty members meet the expectations for promotion to Associate Professor (and to tenure where appropriate) by monitoring progress and helping the mentees recognize areas that need improvement. It is expected that mentors will help their mentees create an agenda for working toward their professional development goals and will provide the mentees with insights into the realities of building an academic career. Mentors do not simply serve as role models for mentees but are active participants in the faculty development process.

Mentors should:

- Be accessible to their mentees and meet with them on a regular basis.
- Provide constructive feedback.
- Advise mentees on issues related to developing an academic career, including research, teaching, administrative responsibilities, and service.
- Advise mentees on setting priorities (particularly important for faculty with clinical responsibilities).
- Assist mentees in establishing short-term and long-term career goals.
- Provide guidance and information regarding issues such as scholarship, publications, supervision of trainees, presentations at conferences, research support, administrative duties, consulting, and collaboration with colleagues.
- Provide constructive criticism and monitor progress in teaching.
- Assist mentees in identifying the areas on which they most need to work and assist in improving their skills or suggest other members of the faculty or administration who may assist in particular areas.
- Be familiar with resources offered by the University, Penn Dental Medicine and the Perelman School of Medicine regarding issues relating to faculty development (grant and manuscript writing, funding opportunities, supervisory skills, and interpersonal skills).
- Advise mentees concerning the importance of networking and networking strategies.
- Be familiar with the Penn Dental Medicine and University criteria, policies, and procedures regarding faculty tracks, reappointment, promotion and tenure (see [Appendix 3](#)).
- Maintain confidentiality.

Responsibilities of Mentees:

Junior faculty members are ultimately responsible for compiling a record of scholarship and teaching that merits promotion.

Mentees should:

- Assume responsibility for their careers.
- Strive for excellence in all areas of expertise and provide documented evidence of productivity, particularly in the area of publications (where required) and teaching.
- Ask for and accept advice and constructive criticism.
- Actively participate in the mentoring relationship.
- Become familiar with the Penn Dental Medicine and University criteria, policies, and procedures regarding faculty tracks, reappointment, promotion and tenure, as applicable.
- Continue to add to the knowledge base in their area of expertise.
- Develop a professional network that includes the mentoring committees' recommendations, as well as those personally identified.
- Maintain a record of teaching evaluations
- Maintain confidentiality.

Meetings

Mentors should meet with mentees within the first semester after the initial appointment to ensure that they understand the requirements for tenure and/or promotion. Mentors must meet with their mentees on a regular basis thereafter, at least twice a year, until the faculty member is promoted to Associate Professor and/or achieves tenure. Information that should be available at each meeting should include:

- The current Professional Development Plan.
- A current curriculum vitae using the template in the Faculty Affairs section of Inside PDM.
- Progress since the previous meeting.

The outcome of the meeting should be a list of both short-term goals (to be achieved before the next meeting, for example) and longer-range goals.

The Committee Chair is responsible for generating a semi-annual meeting report. It is expected that all committee members will contribute to writing this report. A copy of this report will be shared with the Department Chair, the Mentee and the Director of Faculty Advancement and Diversity.

In addition to formal meetings, mentors should be available to mentees on an informal basis as needed. The Director of Faculty Advancement and Diversity will be available to meet, as necessary, with junior faculty members, either alone or together with their mentors and/or department chairs to discuss mentoring issues. Should difficulties arise with respect to clinical, administrative, research and/or clinical assignments, these will be resolved by the Dean and the Department Chair.

Annual Evaluation of Junior Faculty

Primary evaluation of junior faculty is the responsibility of Department Chair, who will take the minutes of the mentoring committee meetings into account in their evaluations. In addition, the Director of Faculty Advancement and Diversity will meet annually with all junior faculty members, as well as the chairs of the mentoring committees, to ensure that the mentoring relationship is meeting the expectations of both parties and to evaluate their relationship.

The climate surveys of faculty undertaken periodically by the University and by Penn Dental Medicine will be used to evaluate the efficacy of mentoring in fostering faculty development.

There is a great deal of information relevant to both mentors and mentees on Inside PDM https://inside.apps.dental.upenn.edu/faculty_affairs/faculty_appointments_resources

Faculty Professional Development and Leadership Programs

Penn Dental Medicine encourages faculty members to participate in faculty development and leadership programs offered by the University, as well as by national organizations. Examples of such programs are:

- **Penn Faculty Pathways Program**, designed to enhance the personal and professional development of faculty members in the first phase of their careers at Penn. The goal of the Penn Pathways program is to improve academic productivity as well as job satisfaction in junior faculty by providing resources to guide their career planning, personal development, and scholarly success at Penn. <https://provost.upenn.edu/faculty-pathways>
- **Programs to Improve Teaching**. Penn Dental Medicine collaborates with the Penn Center for Teaching and Learning (CTL) to conduct frequent workshops on best practices in teaching. <https://www.ctl.upenn.edu/>

- **Manuscript and Grant Writing.** The Office of Faculty Affairs and Professional Development at the Perelman School of Medicine, Penn <https://www.med.upenn.edu/fapd/> offers numerous courses that are open to Penn Dental Medicine faculty; see in particular the section on Scientific Writing <https://www.med.upenn.edu/flpd/office-of-clinical-research.html>
- **Penn Fellows Program,** designed to provide leadership development to select Penn faculty in mid-career. <https://provost.upenn.edu/penn-fellows>
- **Penn Forum for Women Faculty.** This organization spans all 12 schools at Penn and provides numerous resources, primarily for women faculty, although some events are open to all faculty. <https://provost.upenn.edu/pfwf>
- **FOCUS on Health & Leadership for Women.** This program at the Perelman School of Medicine provides extensive programming, much of which is open to Penn Dental Medicine faculty. <http://www.med.upenn.edu/focus/>
- **ADEA (American Dental Education Association) Leadership Program,** designed to develop the nation's most promising individuals at academic dental institutions. <https://www.adea.org/MDFD/Leadership-Training-Programs.aspx>
- **ADEA Summer Program for Emerging Academic Leaders,** designed for faculty members who have been at their institution for less than three years and who have demonstrated the potential for making significant contributions to academic dentistry.
- **ADA (American Dental Association) Institute for Diversity in Leadership Program,** designed to mentor promising leaders with potential to impact diverse communities. <https://www.ada.org/en/education-careers/events/ada-institute-for-diversity-in-leadership>
- **ELAM (Executive Leadership in Academic Medicine) Program for Women,** designed to develop the skills required to lead and manage in today's complex health care environment. <https://drexel.edu/medicine/academics/womens-health-and-leadership/elam/>
- **Management and Faculty Development Programs:**
 - **Harvard Institutes for Higher Education,** <https://www.extension.harvard.edu/professional-development/leadership-management-programs>
 - **Columbia Business School:** <https://www8.gsb.columbia.edu/execed/programs-for-individuals/leadership>
 - **AAL: Chairs and Academic Administrators Management Program (CAAMP):** <https://aalgroup.org/caamp/>

Funding for Professional Development programs: Department Chairs are encouraged to provide financial support to junior faculty who are interested in participating in ADEA/ADA and other professional development programs. If funding is not available at the Department level, faculty members should approach the Dean to seek appropriate support.

Peer/near peer mentoring: In addition to the structured mentoring described above, PDM will facilitate peer/near peer mentoring. The Director of Faculty Advancement and Diversity will hold information sessions once a year in which groups of faculty members from PDM and other Health schools will share their experiences, concerns and ideas. This may provide opportunities for PDM's junior faculty to network with external faculty members.

Mentoring Beyond Promotion to Associate Professor. For interested faculty, a mentoring committee will be formed using criteria similar to those described above for junior faculty. In addition, the Director of Faculty Advancement and Diversity will meet with interested Associate Professors to discuss their prospects for promotion to full professor, as well as any concerns they may have. The responsibility for initiation of promotion is determined by the Department Chair. If there is a disagreement regarding a faculty member's suitability for promotion, discussions should take place with the Chair, Dean and faculty member. If the faculty candidate for promotion is a Department Chair, the discussions should take place with the Dean.

Summary: A Professional development Plan with proposed breakdown of responsibilities of the junior faculty will be used for mentoring purposes. The mentee assumes responsibility for scheduling all mentoring committee meetings, provides an updated CV, and progress since previous meeting. The role of the mentoring committee is to advise, assist and provide guidance and constructive criticism. The mentoring committee does not decide on the eligibility and timing for reappointment or promotion. These decisions are made by the Department Chair in consultation with the Dean. The Director of Faculty Advancement and Diversity provides oversight and support for the program and reports quarterly to the Dean. In addition to the structured mentoring, the school will facilitate peer/near peer mentoring for junior faculty. These guidelines should provide opportunities for professional development of mid-level or more senior faculty, beyond promotion to Associate Professor.

Professional Development Plan

Year _____

NAME OF FACULTY _____ Degree _____

Title _____

(New Appointment/Reappointment/Promotion)

Track: _____

Start Date: _____

Mentors: _____

Breakdown of duties: _____ % Research _____ % Teaching
_____ % Clinical Service _____ % Administration

Scholarship/Research: (description)

Clinical Services: (description)

Teaching: (description)

Administration: (description)

Approved: _____ Date _____
Department Chair

_____ Date _____
Mentoring Committee Chair

_____ Date _____
Mentee

APPENDIX 2

Guidelines to Distinguish the Academic Tracks at Penn Dental Medicine

For additional Information please visit: <https://catalog.upenn.edu/faculty-handbook/ii>

| | Tenure Track | Clinician Educator Track | Academic Clinician Track | Research Track |
|--|--|--|--|--|
| Scholarly activity | | | | |
| Type of scholarly activity | Basic, clinical, translational | Basic, clinical, community, translational | Not required; may participate in clinical, community or translational research | Basic, translational |
| Dedicated time | +++ | Leader or collaborator ++ | - | +++ |
| Role in scholarly activity | Leader | Federal, foundation, industry funding desirable but not required | Not required, but may be leader or collaborator | Leader or collaborator |
| Type of funding | Federal, foundation, industry | | Not required | Federal, foundation |
| Outcome of scholarly activity | Original papers, invited reviews, alternative media; publication in high-impact journals strongly encouraged | Original papers, invited reviews, case reports, chapters, reviews, alternative media; publication in top journals encouraged | None required, but could include case reports or retrospective studies | Original papers, invited reviews, alternative media; publication in high-impact journals strongly encouraged |
| Number of publications | +++ | ++ | - | ++ |
| First/last author emphasis | +++ | ++ | - | ++ |
| Level of external citation | +++ | ++ | - | ++ |
| Presentations at meetings | +++ | +++ | - | ++ |
| Clinical activities (for DMD/DDS faculty) | + | ++/+++ (depending on time assigned) | +++ | - |
| Classroom, laboratory & clinical teaching | ++ | +++ | +++ | + |
| Administration/ service | Determined in consultation with mentoring committee and department chair | Determined in consultation with mentoring committee and department chair | Determined in consultation with mentoring committee and department chair | + |

- None
- + Minimal
- ++ Some/moderate
- +++ Significant

APPENDIX 3

Expectations for Appointment and Promotion at Penn Dental Medicine

Approved by the Committee of Professors November 1, 2016

TENURE TRACK (STANDING FACULTY)

Appointment or Reappointment to Assistant Professor

Scholarship

- The successful candidate possesses evidence of superior potential for development in academic stature in a focused area of scholarly inquiry.
- The candidate shows promise of academic productivity such as previously published manuscripts.
- On reappointment, substantial progress in publications and funding should be illustrated, as well as attendance and presentations at major professional organizations.

Teaching

- The candidate must show potential for contributing to the educational mission of the department or school.
- At reappointment the candidate should demonstrate satisfactory teaching skills, as determined by peer and student evaluations.

Clinical Activity (If Relevant)

- The candidate must be qualified to practice in his/her area of expertise.

Service to the Community/Citizenship

- Active participation in a professional organization is expected at the time of appointment.
- At the time of reappointment, active participation in one or more committees at Penn Dental Medicine is also expected.

Promotion or Appointment to Associate Professor with Tenure

Scholarship

- A candidate must have a national reputation for outstanding independent work in his/her area of scholarship.
- Peer-reviewed articles in respected journals should tell a coherent story about his/her focused areas of research.
- The successful candidate will have independent research grant support, most often from federal funding agencies such as the National Institutes of Health (NIH), the Department of Defense (DoD) or the National Science Foundation (NSF), although funding from non-federal sources with a peer review process will also be considered.
- Membership in research societies, regular presentations at national meetings, and invited lectureships indicate the importance of the individual's research and his/her national reputation.

Teaching

- The candidate should make an important contribution to the teaching mission of the Department, School and/or University.
- The candidate should have a record of excellence in teaching dental students.

Clinical Activity (If Relevant)

- The candidate should have a record of excellent, productive clinical practice.

Service to the Community/Citizenship

- The successful candidate should serve on departmental, school or University committees or have taken on other leadership roles
- Leadership positions in national societies and editorial positions are an asset.
- The successful candidate should take an active role in mentoring.

Promotion or Appointment to Professor with Tenure

Scholarship

- Candidates will be among the top scholars in the country in their area of expertise, with an international reputation for their accomplishments.
- The CV should reflect a substantial body of work and evidence of continuing productivity and excellence since the candidate's promotion to Associate Professor.
- The successful candidate should be a principal investigator of one or more grants from federal agencies or other appropriate funding sources.
- The individual will have a record of giving invited lectures at national and international meetings and of writing scholarly reviews.

Teaching

- The candidate should make an important contribution to the teaching mission of the Department, School and/or University.
- The candidate should have a record of excellence in teaching dental and/or graduate students.
- The individual should display evidence of sustained research training of dental and/or predoctoral students and/or postdoctoral fellows.

Clinical Activity

- Those involved in patient care are expected to be excellent clinicians.

Service to the Community/Citizenship

- The successful candidate should serve on departmental, school and/or University committees or have taken on other leadership roles.
- The individual is expected to be a member of national research societies, study sections and national organizations. The strongest candidates will hold leadership positions in these organizations.
- The individual should have significant experience in mentoring.

CLINICIAN EDUCATOR TRACK (STANDING FACULTY)

Appointment or Reappointment to Assistant Professor

Clinical Activity

- The successful candidate possesses an emerging local reputation as an outstanding clinician in his/her area of expertise.
- State license eligibility will be required for candidates who have clinical responsibilities.

Scholarship

- The candidate shows promise of academic productivity, as evidenced by prior research experience (for example, a clinical research certificate or an equivalent mentored research experience during

residency). Academic promise may also be demonstrated by production of original papers, reviews and chapters.

- Grant support, when appropriate, is likely to come from federal or privately funded sources for clinical, translational or other types of investigations. The candidate shows evidence of seeking such support at the time of reappointment.

Teaching

- Promise of teaching excellence is essential and significant progress should be demonstrated at reappointment, with good student and peer evaluations.

Service to the Community/Citizenship

- Active participation in a professional organization is expected at the time of appointment.
- At the time of reappointment, active participation in one or more committees at Penn Dental Medicine is also expected.

Promotion or Appointment to Associate Professor

Clinical Service

- The successful candidate possesses a local, regional and emerging national reputation as an outstanding clinician in his/her area of expertise, with impact on clinical practice.

Research and Scholarship

- The candidate has a record of academic productivity (including original papers, reviews, chapters) that is characterized by a recognizable, distinct contribution and focus.
- Although grant support is not required, it is encouraged and is likely to come from federal or privately funded sources for translational, clinical or other types of investigations.

Teaching

- Teaching excellence is documented by the department chair and is based on multiple sources, including student and peer evaluations, curricular contributions, and/or the receipt of teaching awards.
- Teaching excellence may also be demonstrated by invitations to lecture to other audiences (including clinicians and lay groups) and/or by participation in courses at the local and regional levels.

Service to the Community/Citizenship

- The candidate should participate actively in the committees of a clinical specialty, professional organization, Penn Dental Medicine and/or the University, and should be recognized nationally as a consultant in his/her area of expertise.

Promotion or Appointment to Professor

Clinical Service

- The successful candidate possesses a national and international reputation as an authority in clinical scholarship in his/her area of expertise, with significant impact on clinical practice.

Scholarship

- The candidate must demonstrate a substantial period of continuing productivity since the last promotion, with a continuing record of academic achievement characterized by a recognizable, distinct contribution and focus.

- Although grant support is not required, it is encouraged and is likely to come from federal or privately funded sources for translational, clinical or other types of investigations.

Teaching

- The individual must have an established reputation as an educator, both regionally and nationally, demonstrated by invitations to write peer-reviewed review articles, chapters and/or editorials, curricular leadership, or by serving as a visiting professor or a course faculty member outside of the region.

Service to the Community/Citizenship

- The candidate will have leadership roles in committees at the state/national level of a clinical specialty or professional organization, Penn Dental Medicine and/or the University. The successful candidate is recognized nationally as a consultant in his/her area of expertise.
- The candidate should also play a role in mentoring.

RESEARCH TRACK (ASSOCIATED FACULTY)

Appointment or Reappointment as Assistant Professor

Scholarship

- The successful candidate possesses evidence of superior potential for development in academic stature in a focused area of scholarly inquiry.
- The candidate shows promise of academic productivity such as previously published manuscripts.
- On reappointment, substantial progress in publications should be illustrated, as well as attendance and presentations at major professional organizations.
- These candidates must be supported entirely by external funding.

Teaching

- Appointees in this track are not part of the teaching faculty, but may hold limited teaching assignments not to exceed 10% of the teaching done by his or her department in a single year.

Promotion or Appointment to Associate Professor

Scholarship

- Successful candidates will have a national reputation for outstanding collaborative and/or independent scientific investigation.
- The faculty member will also demonstrate steady professional growth through the development and submission of either independent or collaborative applications for research funding.
- These candidates are primarily supported by external funding as detailed in the Faculty Handbook.

Teaching

- See above

Service to the Community/Citizenship

- He/she will also demonstrate progressive professional involvement and leadership in the Penn Dental Medicine community, the University and/or national scientific organizations.

Promotion or Appointment to Professor

Scholarship

- Promotion to professorial rank requires independent or collaborative research of high quality. The candidate will display sustained leadership in a program of research, which may include intra- or extramural funding as a principal investigator or co-investigator.
- The individual will have a record of giving invited lectures at the national level and of writing scholarly reviews.
- These candidates must be supported entirely by external funding.

Teaching

- See above.

Service to the Community/Citizenship

- Research Professors are expected to be members of national research societies, study sections and national organizations. The strongest candidates will hold leadership positions in those organizations.

ACADEMIC CLINICIAN TRACK (ASSOCIATED FACULTY)

Appointment or Reappointment as Assistant Professor

Clinical Service

- The candidate should demonstrate superior potential for developing competence in clinical care.
- State license eligibility will be required for candidates who have clinical responsibilities.

Teaching

- Promise of teaching excellence is essential and significant progress should be demonstrated at reappointment, with good student and peer evaluations.

Service to the Community/Citizenship

- Service to the community, such as serving on academic committees, is encouraged at the time of reappointment, but these efforts must be consistent with the primary mission of the track.

Promotion or Appointment to Associate Professor

Clinical Service

- The candidate should have a record of superior performance and productivity as a clinician in his/her area of expertise. Regional reputation or recognition are desirable, but are not an absolute requirement for promotion.

Teaching

- The candidate should make an important contribution to the teaching mission of the department, with a record of superior performance.
- The candidate should play a role in mentoring students at Penn Dental Medicine.

Service to the Community/Citizenship

- The candidate should serve on department, school or University committees. Any other leadership roles will be an asset.

Promotion or Appointment to Professor

Clinical Service

- The candidate should have a record of superior performance and productivity as a clinician in his/her area of expertise. A national reputation is desirable, but is not an absolute requirement for promotion.

Teaching

- The candidate should make an important contribution to the teaching mission of the department, with a record of superior performance.
- The candidate should play a role in mentoring students at Penn Dental Medicine.

Service to the Community/Citizenship

- The candidate should serve on department, school or University committees. Any other leadership roles will be an asset.
- The candidate should also play a role in mentoring.