



University of Pennsylvania  
School of Design

Faculty Policies and Procedures

September 1, 2004

## Contents

<b>Purpose</b>		4
<b>I. Faculty Ranks and Criteria</b>		4
Standing Faculty		5
Assistant Professor	5	
Associate Professor	6	
Professor	6	
Associated Faculty		9
Practitioner Educators	9	
Adjunct Faculty	10	
Visiting Faculty	11	
Academic Support Staff		12
Lecturer	12	
Research Associate	12	
Emeritus Faculty		13
<b>II. Responsibilities for Personnel Actions</b>		13
Academic Departments	13	
Department Chair	14	
Ad Hoc Committees	15	
GSFA Personnel Committee	15	
Affirmative Action Officer	16	
Assistant Dean for Academic Affairs	16	
Dean	16	
Provost's Staff Conference	17	
Provost	17	
President and Trustees	17	
<b>III. Personnel Action Procedures</b>		18
Confidentiality	18	
Faculty Searches	18	
Appointments of Standing Faculty	19	
Initial Appointments	19	
Reappointments	20	
Review for Permanent Tenure	21	
Promotion to Full Professor	22	
Appointment to Named Professorships	23	
Secondary Appointments	23	
Appointments of Practitioner Educators	24	
Appointments of Adjunct Faculty	24	
Appointments of Visiting Faculty	25	
Appointments of Academic Support Staff	25	
Affirmative Action Procedures	25	
Immigration Status	26	

IV.

**Other Policies**

26

Salary Review and Adjustments	26
Extra Compensation	26
Faculty Leaves of Absence	27
Voluntary Reduction of Duties	28
Grievances	28
Conflict of Interest	28
Conflict of Commitment	29
Faculty Absences	29
Sanctions Against Members of the Faculty	30
Resignation	31

# Faculty Policies and Procedures

## Purpose

The School of Design's mission is: advancing the intellectual agenda in each of our fields; providing a foundation of liberal education in the arts, urbanism and architecture for undergraduates; educating practitioners and scholars to become the leaders in the fields of art, architecture, landscape architecture, city and regional planning, historic preservation and urban design; and leading through our faculty's exemplary practice and public service. The overriding objective of the school must be recruiting, supporting and retaining the finest faculty members, and helping them to be productive.

The purpose of this manual is to consolidate the various written and unwritten faculty personnel policies and procedures of the school in a single document, which will serve as a guide to faculty members, departments and committees. Many of the items mirror directly university policies and procedures, which are updated regularly and may be found in the **Handbook for Faculty and Academic Administrators: A Selection of Policies and Procedures of the University of Pennsylvania**, accessible on the web at <http://www.upenn.edu/assoc-provost/handbook.html>

While every effort will be made to keep this document up to date, the university and administration may from time to time change its policies. In such instances, the most recent rules will govern. Faculty members should keep abreast of new policies by reading the university Almanac and notices of actions approved at PennDesign faculty meetings.

## I. Faculty Ranks and Criteria

The faculty at the University of Pennsylvania is divided into several categories: standing faculty, associated faculty, academic support staff, and emeritus faculty. Each group has distinct privileges and responsibilities, and plays a unique and complimentary role in the academic life of the school. Separate criteria apply for appointments and review of faculty members in each category, reflecting differences in expectations and roles.

All personnel decisions in a university are qualitative in nature and, thus, are not easily reduced to prescriptions. They are also future-oriented rather than based solely on past performance, and take into account factors that include: the importance of the candidate's field relative to the school's and university's plans and interests; the current and possible future influence of the faculty member's work and ideas on his or her field; the productivity of the individual, and his or her trajectory; and the quality of teaching and service that might be expected in the future.

## **Standing Faculty**

Standing faculty members are the permanent core of the faculty, responsible for maintaining and extending the disciplines, governing the departments and the school, and establishing policies for admission, curriculum and degrees. All members of the standing faculty are appointed full-time, either with permanent tenure, or in tenure probationary status. The level of commitment may be reduced to less than full time only in limited circumstances, including scholarly leaves, leaves for family responsibility, and voluntary phased retirement, as outlined below. In extremely rare instances, the university and a standing faculty member may enter into a multi-year agreement for a reduction of services, but these are the exception rather than the rule.

Each member of the faculty has a primary appointment in one academic department of the school, and becomes a voting member of that department on appointments, curriculum changes and other matters requiring departmental action. A faculty member may also have secondary appointments in other departments of the school, or in other schools, which may or may not come with similar voting rights. By academic custom, only tenured members of the standing faculty may only vote on tenure cases, and only full professors may vote on promotion to that rank.

All standing faculty members have voting rights at School of Design faculty meetings.

In rare instances, faculty members may have school-wide appointments, and not be voting members of individual departments. The school will only make such appointments with the concurrence of the provost.

The trustees of the university appoint standing faculty members. The rights and responsibilities of standing faculty members are governed by university rules; standing faculty do not have separate contracts. Their teaching responsibilities are decided in consultation with their department chairs, in light of the needs in mounting effective programs. By accepting an appointment, faculty members agree to pursue the advancement and the communication of knowledge in their field, in addition to discharging their teaching obligations. Each standing faculty member must also assume his or her fair share of responsibilities for serving on standing or special committees, student advising, and other activities necessary for the smooth functioning of the department and school.

### **Assistant Professor**

Criteria for appointment of assistant professors include the promise of becoming leaders in their fields, and the potential to be excellent teachers. Normally, those appointed will have completed their highest professional degrees, or doctorates in their discipline, and will show evidence of their capabilities through publications or professional work. Appointment in this rank provides a period during which an individual has an opportunity

to confirm his or her own interest and motivation as being appropriate to the broad scope of university faculty responsibilities, and also one in which senior faculty may assess the promise and competence of the faculty member's performance in both instruction and scholarly productivity.

Initial academic appointments at the assistant professor level are normally made for four years, and the individual is reviewed during his or her third year for reappointment. Reappointments, if approved, will typically be for an additional three years, bringing the total length of appointment to seven years.

Assistant professors may not serve more than seven years in that rank without being promoted to associate professor and awarded permanent tenure. The sixth year is the mandatory year for tenure review, so that individuals will have one full year of advance notice if they are not awarded permanent tenure. Faculty members may request in writing that their mandatory review be deferred until their seventh year, by waiving their right of one-year notification for non-renewal. This decision is solely the faculty member's. The review period may also be extended as a result of child or family care responsibilities, as noted below.

On rare occasions, faculty members may be proposed for promotion to associate professor with tenure before their sixth year. However, in cases of early promotion, the burden falls on the department proposing promotion to demonstrate that the candidate's accomplishments and qualifications considerably exceed those normally expected for promotion on a regular schedule.

#### Associate Professor

Appointment or promotion to the rank of associate professor is made for faculty members capable of carrying out an independent research or practice agenda, and who are having an important influence on their fields through the work they produce. They will have demonstrated that they are effective teachers, capable of teaching in fields that are important to our academic agenda. They will have a significant body of professional work and/or publications, and the work will be known by the leading figures in their field. Associate professors should exhibit the intellectual and personal qualities that with increased maturity are expected to lead to appointment to a professorship.

Appointments may be made at the associate professor level without permanent tenure for faculty members who have begun their research and teaching careers elsewhere and meet the criteria for the rank. In these instances, the individuals cannot be reappointed beyond five years without being granted permanent tenure, and the mandatory tenure review year is their fourth year.

Individuals who have not previously held appointments at other universities, but who meet the criteria for appointment as associate professors, may be appointed as such without permanent tenure. They may remain at this rank for up to seven years, with their mandatory review for permanent tenure in their sixth year.

In rare instances, individuals who begin as assistant professors may be promoted to associate professor without being granted permanent tenure. This may be appropriate, for example, where an individual who moved laterally from another university, but is not yet in a position to be reviewed for permanent tenure.

Associate professors in tenure probation status may request in writing that their tenure review be deferred until their final year, and in doing so must waive the required one-year notification of non-renewal of appointment.

In most cases, faculty will be granted permanent tenure at the time of their promotion to associate professor. Permanent tenure is granted principally on the basis of research or professional accomplishments, accompanied by a record of high quality teaching. Tenured faculty are expected to be the thought leaders in their fields, will have an identifiable area of work in which they are creating new knowledge or new visions, and will be working in fields that their department and school considers important for the future. High quality teaching is expected, but is not in itself a sufficient basis for promotion or tenure. Other factors such as service to the university or profession may support the case for tenure, particularly as they reflect positively on the individual's reputation, but do not outweigh intellectual or professional accomplishments.

Because the School of Design requires a faculty with diverse capabilities, individuals can have an intellectual impact on their fields in a variety of ways, in light of how ideas permeate their fields. To be considered for permanent tenure, a faculty member should have made a sustained set of contributions, across a number of distinct projects. The work must be viewed as innovative or groundbreaking by the leaders of the field. It is the quality and importance of ideas that are being judged, not simply the quantity of projects. The evidence comes from a close reading of the corpus of a candidate's work:

For scholars, the publication of books, chapters and articles in refereed publications is most important. If initial publications result from a dissertation or work done under the guidance of a senior faculty member, it is also important for the candidate to demonstrate the ability to carry independent scholarly projects to a successful conclusion. Edited publications often may make important contributions to a field, but the editor's intellectual contributions will be judged by the quality of what he or she writes, not that of authors whose work has been edited.

For researchers, publication of research findings in refereed publications may be the most important evidence of their contributions. When a substantial body of research findings has been achieved, they may form the basis for a book, but in some fields a sustained record of publishing influential articles is sufficient evidence of important contributions. In some research fields, publications of professional conference proceedings are the main vehicle for disseminating research findings, and they will have greater stature if they are the product of rigorous peer review processes.

For those who seek to influence practice through creating new models and examples, their work will be judged by the quality of built projects, or the impact of plans or policies. Evidence might include the publication of completed or theoretical projects in professional journals, monographs on the body of an individual's work, and favorable reviews of the work by important critics in the field. As with all forms of work, the candidate must demonstrate an accumulation of projects to make the case for permanent tenure.

For artists whose main medium is the production of works of art, a sustained record of exhibitions, especially one-person shows, is essential. Critical commentary on the work, and publication of it in catalogues, journals or monographs is important to demonstrate the candidate's influence on the field.

For graphic and other designers, the evidence of qualification for permanent tenure will come from a sustained record of successful commissions that break new aesthetic ground, and have broad influence on their peers. We will expect the work to have received favorable notice in the top publications of the discipline.

Much important work occurs in teams, and this is encouraged. However, it is also important to be able to single out the contributions of individuals being considered for tenure or promotion. It is especially important for senior faculty to provide opportunities for their more junior collaborators to take the lead in portions of the work, so that they can demonstrate their independence.

## Professor

The title of professor signifies that the holder is a mature scholar whose achievements have won outstanding approval both by peers outside the university and by his or her faculty colleagues, and whose presence on the faculty enhances the prestige of the university. Appointment to this rank is not merely a recognition of length of service, but also of outstanding quality. Such an appointment is for an indefinite term.

The principal criteria for promotion to professor will be whether the individual is considered to be a leader of his or her field nationally or internationally, whether there has been a sustained pattern of contributions across many projects, and whether the candidate is likely to remain productive well into the future. Typically, faculty members will have been tenured for at least five years before being considered for promotion to full professor, but for many it will take a considerably longer period to achieve this rank. Not all faculty members will become full professors.

Professors are expected to assume responsibility for guiding their departments, and take on leadership roles in the school and the university. They need to assure that their more junior colleagues are mentored well, become effective teachers, and are offered opportunities to develop productive careers. They set the intellectual tone for their departments, and should always be looking for ways of engaging their colleagues in



productive inquiry. They are the intellectual stewards for their departments and their fields.

### **Associated Faculty**

Members of the associated faculty bring special expertise into their departments, and complement the standing faculty. One of the School of Design's unique strengths is its ability to keep abreast of leading edge practice through the appointment of associated faculty. Associated faculty contribute to the school mainly through their teaching. They are appointed for terms ranging from 1 to 5 years, and are not eligible for permanent tenure.

### **Practitioner Educators**

The ranks of associate professor of practice and professor of practice (referred to as "practitioner educators") are reserved for distinguished professionals who wish to develop a career that combines education and practice. They bring to the school understandings developed in practice, and may use their teaching as a way of exploring ideas and theories more freely than practice assignments permit. Appointments of practitioner educators typically are for five year terms, and are renewable. Because they offer multi-year security, they represent a mutual commitment by the faculty member and the department to develop educational opportunities that expose students to the leading edge of their particular area.

The number of practitioner educator positions in the school is limited to no more than 30% of the number of standing faculty in the school at the time of the appointment. By trustee resolution, the number of practitioner educators in any department may not exceed the number of standing faculty. However, to ensure that there is an equitable distribution of the limited number of practitioner educator positions across the school, the standing faculty voted in 2002 that each department should be entitled to at least one position, and that the number of practitioner educators should not exceed 30% of the number of standing faculty in any department.

Practitioner educators' responsibilities and compensation are governed by their appointment letter from the dean, which sets down the customary expectations each year during the term of their appointment. Generally, they are expected to carry the equivalent of at least a half time teaching load, although there is flexibility in scheduling this to reflect the demands of practice. The expectations, and corresponding compensation, may be modified from year to year, by mutual agreement of both the department chair and the faculty member. While there may be individual years in which it is not possible for the individual to teach because of the heavy demands of practice, if this persists beyond one year, the appointment will be terminated.

Practitioner educators are not allowed to have affiliations with other universities without approval of their department chairs, and are encouraged to identify themselves as faculty at the University of Pennsylvania where academic identification is appropriate.

Practitioner educators are eligible to be reviewed for reappointment in their fourth year, at the request of the faculty member after discussion with the department chair. There are three fundamental criteria for review: whether the individual's practice continues to be at the leading edge; his or her effectiveness as a teacher; and whether he or she has had sufficient presence in the school to make a contribution beyond their classes. In addition, departments will need to make a judgment before proceeding with reappointment as to whether the faculty member's field remains best covered by a practitioner educator, or whether a standing or adjunct faculty member would be more effective.

Practitioner educators do not have voting rights at faculty meetings, unless these are granted by vote of the department or school, although they are welcome to attend and participate in discussions. Their administrative responsibilities are outlined in their letter of appointment.

*Associate Professor of Practice* – This rank is for emerging professionals beginning to receive widespread notice for their work, and who are likely to be national or international leaders in the future. We would expect to see a number of publications on their work, and awards or positive critical reviews, at the time of appointment.

Normally, associate professors of practice will not be appointed to more than two five year terms. To continue teaching in the school beyond two terms, they must be promoted to professor of practice.

*Professor of Practice* – This rank is reserved for the most distinguished practitioner educators nationally or internationally. Their work will be recognized as influential by most practitioners, and they will have a record of effectively communicating their ideas in an educational setting. They will have shown the ability to balance teaching and practice, in the context of a career in which they are in high demand.

### Adjunct Faculty

Adjunct faculty members bring specialized knowledge to the school, enriching its educational opportunities by teaching subjects that are otherwise not able to be taught by the standing faculty. This group consists of individuals whose primary careers are outside the university faculty, whether self-employed, or members of professional firms, other institutions of higher education, business or non-profit organizations, or government agencies. Accordingly, adjunct appointments are for less than half time, normally teaching the equivalent of one or two course units each year. Often adjunct faculty will have taught previously as a lecturer for a year or two, to demonstrate their effectiveness as a teacher, and the value of their contributions.

Appointments to the adjunct faculty may also be made for academically qualified persons employed by the university or school in nonacademic or administrative roles.

Adjunct appointments are normally made for three to five years, and individuals may serve in the adjunct faculty without limit of time through successive appointments.

Adjunct faculty are members of the associated faculty. The school does not assure continuity of appointment for any person in the adjunct faculty, and they are not eligible for tenure. During the term of an appointment, the teaching assignments, if any, are decided on a year-to-year basis by the department chair, taking into account the teaching needs of the department. Adjunct faculty, similarly, may notify the department chair that they will be unavailable for teaching in a particular year because of professional commitments. In either case, sufficient notice should be given to allow alternative plans to be made. The appointments of faculty who are unable to teach for two successive years will be terminated.

Adjunct faculty members are considered for reappointment during their final year, based primarily on two criteria: the quality of their teaching, and the contributions to practice made by their work. In deciding upon reappointment, the department must also determine whether it will have a continuing need for the types of courses taught by the adjunct faculty member or whether these should be shifted to a standing faculty member or practitioner educator.

Adjunct faculty members do not have voting rights in departmental or school faculty meetings, unless conferred by a vote of the relevant faculty. They are, however, welcome to attend faculty meetings and participate in discussions.

*Adjunct Assistant Professor* – Individuals are appointed to this rank who have useful knowledge and skills, and show the potential of developing an important body of work. They will typically have demonstrated their teaching capabilities as teaching assistants or lecturers in the school, or elsewhere.

*Adjunct Associate Professor* – These are emerging leaders of their fields, whose work is recognized at least regionally as innovative. They will have been recognized by their peers through publications, awards or invitations to speak at events and other universities. They will have demonstrated their value to the school, or potential, through previous teaching in the school or elsewhere.

*Adjunct Professor* – This rank is reserved for the highest-level professionals in their fields, who will typically be known nationally for their work. They will have published articles or books, or had others publish articles on their work, or will have had a number of one-person shows if they work in artistic fields.

### Visiting Faculty

Visiting faculty members are individuals temporarily appointed by the university while they have continuing academic appointments in another institution of higher education, or have continuing associations with business or nonprofit organizations or with government agencies. A visiting faculty member is a full-time member of the university while on leave from the organization with which he or she is affiliated. Normally such appointments are for one year or less, and occasionally they are made for faculty who wish to try teaching in the school before making a commitment to move to it. Full time

appointment as a visiting professor is limited to three consecutive years. On other occasions, visiting faculty appointments may be made for faculty who wish to divide their time between research and teaching.

The academic ranks in the visiting faculty are visiting assistant professor, visiting associate professor, and visiting professor. Visiting faculty appointments mirror the individual's appointment at their home institution. When there are not comparable ranks (eg, appointments at foreign institutions, individuals from research organizations), the rank will be established by equivalence with our faculty.

Visiting faculty members do not have voting rights, although they may be invited to attend faculty meetings of the school and the departments with which they are affiliated.

### **Academic Support Staff**

Members of the academic support staff include many individuals who participate in the school's teaching and research activities, but who are not eligible for appointment to the standing or associated faculty. They play a valuable role in the school's teaching programs, bringing a special approach to their work that is complementary to and supplements other types of faculty. Appointments of academic support staff are made annually, with no presumption of reappointment and no prospect of tenure. There are three main ranks:

#### **Lecturer**

The rank of lecturer is flexible, allowing the appointment of eminent scholars whose appointments are temporary or part-time, scholars still in professional training, skilled artists or designers who engage in studio teaching, or persons who do not possess the normally expected scholarly credentials but nevertheless provide valuable instructional services. Appointments are for one year or less but may be renewed.

Individuals may be appointed as full time lecturers to fill important but temporary gaps in our teaching resources (eg, when faculty are on leave). Full time service as a lecturer is limited to three consecutive years, except where additional appointments are approved by the provost. Lecturers are not eligible for tenure, and do not have voting rights in their department or the school. They may be invited to faculty meetings where they or the school would benefit from their participation.

#### **Research Associate**

Research associates work in sponsored research programs, and must hold the appropriate terminal degree in their disciplines. The terms of their appointment will correspond to the length of assured funding from sponsored research projects, and appointments will be made upon the recommendation of the principal investigator and the chair of the department to which the individual is to be attached. Full time service in this position may not exceed three years, except with the approval of the provost.

## **Emeritus Faculty**

Emeritus faculty status is conferred upon professors and associate professors in the standing faculty at the time of their retirement. They can continue to serve a valuable role as advisors to department chairs and the dean, and may engage in research including sponsored projects if it is considered valuable and practicable by the department chair and vice provost for research. While they no longer have voting rights, they may attend meetings of their school faculties and may participate in the work of committees if invited.

For information on the current policies for emeritus faculty, see [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_9.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_9.html).

Emeritus faculty may be rehired for specific teaching assignments on a year-to-year basis, when budgets permit and there is a need to teach courses not covered by the standing and associated faculty. Compensation will be based on available resources, and will be equivalent to other part time faculty; it is not necessarily comparable to their pre-retirement salaries.

## **II. Responsibilities for Personnel Actions**

### **Academic Departments**

Most personnel actions originate in academic departments. The standing faculty of a department considers and votes upon all appointments, reappointments, promotions and permanent tenure proposals for standing faculty, professors of practice and associated faculty. By academic custom, all standing faculty may vote on recommendations concerning assistant professors, only associate and full professors may vote on recommendations for appointments of associate professors in tenure probation status, only tenured faculty may vote on proposals for appointments at the associate professor level with permanent tenure, and only full professors may vote on appointments or promotions to that rank. All standing faculty in a department may vote on proposals to appoint or reappoint professors of practice or adjunct faculty.

Decisions on personnel actions must be made with complete dossiers available for review by the voting faculty, and after full and careful deliberation. The department chair makes the case for the personnel action to the faculty, or designates another senior faculty member to do so. Issues discussed should include a careful consideration of the present status of the department and its plans for the future. Faculty meetings to discuss personnel issues should be scheduled at times when faculty can reasonably be expected to attend, and it is the responsibility of the faculty member to be present. Votes will be recorded by the chair for all those present and voting, and there is not an obligation to canvass those absent for their views or votes.

Because the School of Design is a small, consisting of four departments, circumstances may arise where there are too few faculty members in a department to fully review or vote upon a case. If there are fewer than three faculty in a department eligible to vote on an action, the dean in consultation with the department chair will enlarge the committee by adding faculty from other departments who are knowledgeable about the field of the candidate, and at ranks that would be entitled to vote on the case.

In the event that the department chair is a candidate for promotion, the dean may also create a special committee drawn from the voting faculty of the department and beyond, that provides the necessary independence for the decision.

The department chair, along with full professors in a department, should review the status of all faculty members in the department annually, identifying those who merit consideration for promotion. It is important to be fair and proactive about such decisions, and not put faculty members in the position of having to be the sole advocates of their promotion.

### **Department Chair**

The department chair oversees the departmental process of reviewing and appointing faculty, leads the faculty discussion of individual cases, records the department vote on cases, and makes the case in writing and orally before the school personnel committee for recommended appointments and promotions.

The chair prepares a dossier on the candidate, in accordance with the university and school procedures. He or she is responsible for ensuring the appropriateness of extramural consultants, and the quality of reviews by ad hoc committees, and the faculty, preparatory to recommending cases forward. No pertinent information received, such as an unfavorable recommendation, may be withheld from the candidate's dossier. While personnel decisions are made on a case-by-case basis, department chairs must ensure that they and any search committees have complied with affirmative action policies, that faculty are treated equitably, that the action promotes the highest standards of faculty excellence, and that the long-term interest of the department and school is being served.

Only in exceptional circumstances will the chair proceed with an appointment or promotion that does not have a favorable vote of a majority of the faculty with voting rights, and only then after consultation with the dean.

The department chair, in discharging the responsibilities of planning and organizing the academic program each year, may propose to the dean the appointment of academic support staff and visiting faculty. While a faculty vote on those positions is not necessary, the chair should regularly apprise the standing faculty of appointments that have been made, so that they are aware of the complete list of individuals offering instruction.

## **Ad Hoc Committees**

Ad hoc committees are designed to ensure that the work of all candidates for permanent tenure and full professor is given a careful reading or review by senior faculty knowledgeable about their field, independent of the reviews extramural consultants. Ad hoc committees are appointed by the department chair, after discussion of their membership with the dean. The role of the committee is to read carefully the body of work of the candidate, or review closely his or her professional work, and to offer a written appreciation of it for the departmental faculty, school personnel committee, dean and university committees. They should identify the important contributions of the work, place them in the context of other work in the field, identify any weaknesses in the candidate's work, and generally comment on the trajectory represented by the candidate's professional or scholarly career. The report should be accompanied by a recommendation for or against the proposed action. The ad hoc committee's report should be available to the faculty prior to discussing and voting on the case, and will become part of the dossier that moves forward.

## **School of Design Personnel Committee**

The School of Design personnel committee consists of five full professors, appointed by the dean on the recommendation of department chairs. Typically, the committee will have at least one faculty member from each of the academic departments, plus a chair, selected by the dean. In the event that a department does not have a full professor available to serve on the committee, the dean will appoint a member from another department to fill out the committee. University rules do not permit department chairs to serve on the school personnel committee. Members of the school personnel committee will normally rotate off after two years of service, but exceptions may need to be made to reflect the availability of successors in small departments.

The School of Design personnel committee acts on behalf of the full faculty of the school, with delegated authority to review and vote on all proposed appointments, reappointments, promotions, and proposals for permanent tenure for standing faculty and associated faculty. Appointments of academic support staff, visiting faculty, and research faculty are not reviewed by the committee.

It is the personnel committee's responsibility to ensure that the academic qualifications of the candidate are consistent with the rank proposed, and that there is comparability in ranks across the school.

Dossiers on proposed actions are made available at least several days in advance of meetings at which actions are taken by the committee. Included in these are a complete and current resume, a full set of internal and external letters, the ad hoc committee report (if appropriate), teaching evaluations, the department chair's letter setting forth the case, and supplementary materials illustrating the candidate's work. The department chair presents the case to the personnel committee. After full discussion, the committee votes

on the case, and the chair of the personnel committee will faithfully communicate the sentiment of the committee and the reasons for its action in his or her letter to the dean. The vote should be recorded in the letter, without identifying individuals voting pro and con, or abstaining.

If the committee vote is unfavorable, the department chair may resubmit the dossier to the personnel committee, but only if there is new evidence or if new facts come to light that justify reconsideration. The personnel committee may reconsider the case, or may determine that the original decision was sound. The dean may also request that the personnel committee review any negative decision of a department that would have the effect of terminating an individual's appointment.

### **Affirmative Action Officer**

The dean will appoint a member of the standing faculty to serve as the school's affirmative action officer each year. Before appointments are proposed to the dean, the affirmative action officer must be satisfied that searches or other processes have been conducted in a way that identified, interviewed and gave full consideration to the most qualified women and members of underrepresented minority groups. The affirmative action officer also advises search committees on strategies that are likely to be effective in building a diverse faculty.

### **Associate Dean for Academic Affairs**

The associate dean for academic affairs serves as the school's personnel officer, managing the flow of actions (searches, appointments, reappointments, promotions, tenure reviews), assisting the chair of the personnel committee in scheduling meetings and generally facilitating its work. She or he assures that procedural requirements are met, and that the dossiers sent forward comply with university requirements. Department staff and chairs need to be in close contact with the assistant dean to ensure that actions can be accommodated within the time frame contemplated.

### **Dean**

The dean has the responsibility to evaluate fully a candidate's credentials, and review any personnel action for consistency with the academic standards, plans, priorities and the budget of the school. He or she has is ultimately accountable for the quality of the school's faculty, and will view each personnel action in this wider context.

Positive recommendations of the School of Design personnel committee are forwarded by the dean to the provost with his recommendation on the proposed action. The dean may choose to concur with or dissent from proposals that are sent forward by the personnel committee. However, he or she must also present faithfully to the provost's staff conference the case that has been advanced, and explain the reasons for the actions by the department's and school's faculty.



The dean may also forward recommendations that did not receive a positive endorsement of the personnel committee, although it is expected that this would occur only rarely. In such cases, the dean must inform the personnel committee of the reasons for taking such action.

The dean has final responsibility to negotiate and commit the school to the terms of any offer of an appointment, salary levels for faculty members, academic leaves, and adjustments to faculty responsibilities.

### **Provost's Staff Conference**

The provost's staff conference (PSC) is an advisory committee to the provost that discusses and recommends to the provost all personnel actions ultimately requiring trustee action. The conference consists of the deans of the four large schools (arts and sciences, engineering and applied sciences, medicine, and the Wharton school), four other deans, the associate provost and deputy provost. The PSC typically meets biweekly during the fall semester, and weekly during the spring semester. The full conference deals with all appointments and promotions at the tenured associate professor or full professor level for standing faculty, associate professor and full professor level appointments in the clinician educator ranks (in the medical schools), research professors, and all designations of faculty for named professorships.

Proposed promotions to professor are reviewed by PSC in the fall semester, and associate professor cases are reviewed in the spring of each year.

In order to ration the time of members of the committee, the provost has established a PSC subcommittee that deals with all other personnel actions requiring the provost's approval. This subcommittee consists of associate or deputy deans from the large schools and the associate provost. Proposals for appointment of assistant professors, associate professors without permanent tenure, practitioner educators, adjunct faculty, faculty leaves and other personnel actions are considered by this group. It meets at least monthly.

### **Provost**

The ultimate decision on whether to recommend a personnel action to the president and trustees rests with the provost. Before making such a recommendation, he or she will want to be assured that university-wide academic standards are being met, that the proposal is consistent with the approved academic and financial plans of both the school and the university, and that it is in accord with statutory provisions.

### **President and Trustees**

All appointments and promotions to the ranks of professor, associate professor or assistant professor in the standing faculty and associated faculty are made by positive action of the trustees, on the recommendation of the faculty, the relevant dean, the provost and the president. The trustees also approve all proposals for academic leaves,

reductions of appointments, conferral of professorships, agreements for reduction of service, and employment beyond retirement. The minutes of the trustees are the official record of such actions.

No dean, department chair, or other officer of the university has the authority to commit the university to appointment or promotion in the ranks of assistant professor or above without the positive action of the trustees. Offers of appointments that emerge out of searches must be explicitly conditional on approval by the trustees.

### **III. Personnel Action Procedures**

Personnel actions require school and, in most instances, university approval. In order to assure fairness, it is important that uniform procedures be followed. Set down below are the School of Design's procedures and requirements, which in some instances go beyond those of the university. More detailed information on the provost's requirements and forms may be found on the associate provost's web page, at <http://www.upenn.edu/assoc-provost/handbook.html> , see II.D.2 Documentation of Promotion and Appointment Proposals.

#### **Confidentiality**

The materials compiled in dossiers personnel actions must be kept confidential by members of the faculty. When extramural letters are solicited, referees are advised,

It is the policy of the University of Pennsylvania that external letters be held in confidence. However, in the event of litigation or a governmental investigation, the candidate or others may gain access to the information contained in these letters.

It is inappropriate to disclose the names of authors or contents of letters to the candidate or to others, or to comment to the authors about their letters.

Discussions of personnel actions in faculty meetings, the GSFA personnel committee, or on search committees must remain strictly confidential. Only the department chair or the dean may communicate the results of such meetings to the candidates or others. Comments made during personnel meetings, the votes, the relative ranking of candidates, the comments of any referees, or any other item material to the deliberation must not be disclosed.

#### **Faculty Searches**

Faculty searches are authorized by the dean in areas where there is a long-term commitment to offer instruction and develop knowledge, and when the school is in a position to commit resources. At the University of Pennsylvania, every beginning faculty member is given the opportunity to demonstrate his or her suitability for promotion and permanent tenure; so that each appointment may represent a commitment that extends to retirement.

Members of a search committee are appointed by the dean, based on recommendations from the department chair. In order to cast a broad net for promising candidates, search committees normally consist of a combination of senior faculty, junior faculty, students and alumni knowledgeable about the field. Committees are normally chaired by a tenured faculty member with broad knowledge of the field, and at least one member of the search committee should be from a department in the school other than that conducting the search. Searches require considerable time and effort, and accepting an appointment to a search committee implies a willingness to adjust personal schedules and make oneself available at reasonable times for meetings of the committee and with candidates. Departments provide the staff backup for search committees.

Search committees have the responsibility for: advertising the availability of a position in professional journals and places likely to attract the best candidates; identifying through contacts with other knowledgeable observers individuals who should be considered; assessing and interviewing candidates; exploring their availability; compiling dossiers and consulting references on the top candidates; and ultimately recommending to the faculty of the department and dean three to five candidates that meet the qualifications for the position. Before beginning the search, the chair of the committee should consult with the school's affirmative action officer to insure that university and school policies are followed. Recommended candidates should be compared and ranked, but candidates should not be informed of the ranking. A list of all candidates who applied or were considered should accompany the committee's recommendations, together with the required affirmative action information.

We have a special commitment to balancing our faculty in terms of gender and race, and extraordinary efforts must be made in all searches to identify and interview the most promising women and under-represented minority candidates. All individuals so identified in searches should be documented, along with the reasons for advancing them to candidacy or passing over them. Ultimately the school's affirmative action officer must be satisfied that a serious affirmative action effort has been made. An equal opportunity compliance statement must be completed by the department and approved by the affirmative action officer, prior to the forwarding the dossier to the PSC.

The search committee should report its results to the dean and department chair. If the dean concurs that the process has identified candidates of the highest caliber, the faculty of the department will be asked to consider the candidates in terms of their acceptability for the rank and position. The dean will negotiate with candidates, and ultimately make offers of employment in consultation with the department chair.

## **Appointments of Standing Faculty**

### Initial Appointments

Initial appointments at all ranks in the standing faculty are made as a result of searches. The search committee, as part of its deliberations, is encouraged to seek external letters

on the final candidates, assessing their promise and performance. Where the individual has taught at another university, the committee should obtain the candidate's teaching chronicle and evaluations. Each candidate on the recommended list should be asked to write a brief statement outlining their academic plans over the next several years, should they be successful in being appointed. These materials should be made available to the faculty of the department when discussing and voting upon the acceptability of the top candidates.

The process of documenting and voting upon initial standing faculty appointments differs, depending upon whether the appointment is to be with permanent tenure, or in tenure probation status. For all tenured appointments, a full tenure review is necessary, regardless of whether the individual has been granted permanent tenure elsewhere. The tenure review process is outlined below. An offer of a tenured appointment can only be made with the explicit condition that it is subject to a full review for permanent tenure, and approval of the appointment by the provost, president and trustees.

For untenured initial appointments, offers must also be approved by the school personnel committee, provost, president and trustees. When there is an indication that the candidate is prepared to accept an appointment, a formal dossier should be compiled by the department chair, in consultation with the assistant dean for academic affairs. In addition to the candidate's resume and personal statement, the dossier must include at least three external letters assessing the candidate (two for assistant professors), and three internal letters (two for assistant professors), solicited by the chair of the search committee or department chair, the candidate's prior teaching record (if relevant), and a collection of relevant publications and/or projects done by the candidate. The department chair presents the proposal to the school personnel committee. The chair of the school personnel committee summarizes the grounds on which the personnel committee acted, and the vote, in his or her letter to the dean.

Other materials will be added to the dossier by the assistant dean for academic affairs, including a certification of the candidate's fluency in the English language, a table of the distribution of standing faculty in the department, documentation of affirmative action in the search, and the dean's letter.

### Reappointments

Reappointment reviews are significant milestones in the academic careers of untenured faculty. They present an opportunity to assess the accomplishments of faculty well in advance of mandatory tenure reviews, and advise on midcourse corrections that will increase their prospects. Appointments should only be renewed the tenured faculty are confident that the individual is on a trajectory that has a high probability of meriting permanent tenure in the future, and if the faculty member's work is in an area that is central to the long term agenda of the department.

Reappointment reviews should focus upon the quality of work of the faculty member, teaching performance, and his or her contributions to the department, school and

community. The candidate should compile for the department chair a full dossier of work done since the initial appointment. Departments are advised to appoint a senior faculty member who is charged with reviewing carefully the publications or projects of the candidate, and reporting on them to the faculty voting on reappointment. The teaching record should be compiled and reviewed in detail, including course evaluations and comments from students and faculty who work closely with the candidate. Normally, external letters are not solicited as part of the reappointment review process, but the department chair should become informed about the reputation of the faculty member outside the university.

The department chair's letter makes the case for reappointment, and communicates the department vote to the personnel committee, dean and ultimately the provost. The department chair should inform the dean when the department votes against a reappointment. He may wish to review the case, or have the school personnel committee review it before a decision is communicated to the candidate.

### Review for Tenure

Granting tenure is among the most important actions of the university because it defines the composition of its standing faculty, conferring important privileges and responsibilities on those selected. Decisions are made carefully, using both internal and external evidence. An identical process is followed for both internal candidates being granted permanent tenure, and candidates being recruited from outside the university to tenured ranks.

The criteria for tenure have been outlined above. The process of review begins by compiling the full dossier of work of a candidate, obtaining a statement of his or her academic plans.

The department chair proposes a list of extramural consultants, that must be approved by the dean and the associate provost. At least 8 consultants should be nominated by the chair, consisting of distinguished figures in the field able to assess the contributions of the candidate. They must be tenured faculty at competitive institutions, or others with equivalent stature. (For full professors being reviewed for tenured appointments, they must be at that rank.) The candidate may propose up to three additional consultants. Once approved by the associate provost, the chair writes to the consultants, using a letter prescribed by the university, and asks for an assessment of the candidate for permanent tenure at the rank proposed. A package of materials on the candidate normally accompanies the request. Consultants may be contacted in advance to inquire about their willingness to review a case, but care must be taken not to discuss the merits of the case. To move a case forward, at least six letters must be in hand from the list of approved consultants nominated by the department, and as many as possible from the candidate's list.

The chair should solicit intramural letters assessing the work of the candidate from tenured faculty, both within the department and beyond, who are in a position to

comment on the faculty member's contributions. These also become part of the tenure review dossier.

The department chair, in consultation with the dean, appoints an ad hoc committee to review the candidate's work in detail, as noted above. This report is included in the dossier.

The teaching record assembled for the review should include a teaching chronicle listing all courses taught over the preceding six years, enrollments, lists of graduate students supervised, and a list of independent studies supervised for undergraduate or professional students. The record should include average scores on course evaluations, along with a summary of comments by students returning evaluations. Where the candidate has worked extensively with graduate students outside of classroom settings, the department chair should solicit confidential letters of assessment from those students. Faculty who have taught jointly with the candidate, or who have had sufficient opportunity to observe his or her teaching, should also be asked to comment on teaching performance.

When these materials are in hand, the department chair presents the case to the tenured faculty (or full professors in the case of a new appointment at that level). If the faculty votes in favor of the case, the department chair records the vote and any other relevant considerations in his or her letter to the dean. The chair also presents the case to the school personnel committee. If there are a majority of negative votes at either level, the case should be discussed with the dean, who may wish to have further discussions with the department or personnel committee before communicating the decision to the candidate.

The associate dean, working with departmental staff, is responsible for compiling the dossier required by the provost for cases to be reviewed by the provost's staff conference. The dean presents the case at the PSC.

Decisions on permanent tenure may not be announced publicly until approved by the provost based on discussion at the provost's staff conference. They only become formal when approved by the board of trustees, generally within 3 months of the provost's action.

#### Promotion to Full Professor

Promotion of an associate professor to full professor occurs only after a substantial period of work at a high level, and only when faculty members have demonstrated that they are leaders in their field. The criteria are outlined above.

Although the standards are set higher, the process of review for promotion to full professor is substantially similar to review for tenure. The candidate must prepare a personal statement and assemble a dossier of work; letters from at least 6 distinguished extramural consultants are required; at least 3 intramural letters are included; the teaching record is reviewed in detail; and an ad hoc committee is appointed to review the work and

advise the voting faculty on its quality. External consultants may be approved by the dean. Emphasis in the review is on accomplishments since achieving the rank of associate professor, or since being reviewed for tenure, whichever is more recent.

The process also involves similar steps to those required for a tenure review. It should be emphasized that promotion to full professor is not a matter of length of service, but of outstanding quality. The department chair should discuss with the dean whether an individual faculty member merits review for promotion to full professor, before initiating a full review.

### **Appointment to Named Professorships**

The school has a number of endowed professorships reserved for distinguished faculty members. Each professorship has restrictions on its use, often as a result of donors' wishes, and the dean is responsible for ensuring these are respected.

The dean, on recommendations of the department chair, makes appointments to one-year professorships, intended for visiting faculty, such as the Graham professorship.

The provost and trustees must approve appointments to other professorships. Normally, the dean will form a committee to advise him on nominating faculty for such professorships. This may be a search committee, in the case where an individual is sought from outside the university to fill a professorship.

The case for appointment to a named professorship will be prepared by the relevant department chair, and presented to the PSC by the dean.

### **Secondary Appointments**

Secondary appointments are encouraged for faculty in other departments within the school, or in other schools, where the individual intends a long-term association with the secondary department, and teaches in areas that are especially relevant to its students. Such appointments are normally made for three years, and must be approved by the standing faculty of the department making the secondary appointment. They must also be approved by faculty member's dean and department chair, and dean of the School of Design. Reappointments in second departments are generally made as long as the faculty member continues to participate significantly in the work, symposia and other affairs of that department.

The decision on whether a faculty member is granted voting rights in the secondary department should be made by standing faculty members in that department having a rank equal or higher than the individual being considered.

Department faculty should be cautious in making secondary appointments of faculty without permanent tenure, since presence in two departments may bring with it increased

administrative and committee responsibilities, and may blur the faculty member's academic focus.

### **Appointments of Practitioner Educators**

Practitioner-educators of the caliber we seek in the school normally need to be recruited. The decision to create a position for an associate professor of practice or professor of practice is in the first instance the dean's, in consultation with the department chair, since it represents a multi-year commitment of resources. Once a position is created, the department chair, working with his or her senior faculty, identifies potential candidates, interviews them, and recommends to the department faculty and school personnel committee their appointment. In making such proposals, the chair and faculty of the department need to be attentive to the issue of balancing the faculty in terms of gender and ethnicity. Appointments must be approved by dean, who forwards the proposal to the PSC subcommittee, for a recommendation to the provost and trustees.

The dossier for practitioner educators should include: a current curriculum vitae; a letter from the department chair that outlines the recruitment process, the special qualifications of the candidate, the teaching and other roles expected of him or her, and the departmental vote; at least five letters from extramural referees and at least three intramural letters; a chronicle of any prior teaching in the department, and a summary of student evaluations; and a selection of publications or projects on or by the candidate. Other forms and materials required by the provost will be added by the assistant dean for academic affairs.

Upon review for reappointment, the same materials will be expected, and special attention should be devoted to addressing the three main criteria for practitioner-educators: that their work remains at the leading edge of their fields; that they have been excellent teachers; and that they have sufficient presence in our school to make a difference beyond the classes they have taught. These issues will, of course, need to be addressed in light of the customary expectations outlined in their initial appointment. Reappointment proposals are voted on by the standing faculty of the department and school personnel committee before being forwarded by the dean to the provost's staff conference subcommittee, and provost.

### **Appointments of Adjunct Faculty**

Proposals to appoint adjunct faculty members originate with department chairs, and are discussed and voted upon by the standing faculty of a department. Considerations in such a vote should include whether it makes sense to make extended commitments in the candidate's area, how he or she complements members of the standing faculty, the quality of professional work and teaching, and the balance of faculty across fields, gender and ethnic composition. The dossier for an appointment should include a current curriculum vitae; a letter from the department chair outlining the case for appointment, the anticipated role of the candidate, and the department vote; at least three letters from extramural referees; a summary of prior teaching evaluations; and a selection of publications or projects on or by the candidate.



Proposals to reappoint adjunct faculty should include similar materials, with special emphasis on the quality of their professional work and their teaching.

Adjunct faculty proposals are voted upon by the department standing faculty and the school personnel committee before being forwarded by the dean to the PSC subcommittee and provost.

### **Appointments of Visiting Faculty**

Visiting faculty proposals for not more than a single year are made by the department chair, and approved by the dean. The chair's letter outlines what is expected of the individual and the special qualifications of the candidate. An up-to-date curriculum vitae is attached. Chairs should keep their faculty informed of visitors who will be present, to encourage dialogue and take advantage of their presence.

### **Appointments of Academic Support Staff**

Department chairs propose appointments of lecturers, instructors and research associates and these are approved by the dean. Chairs prepare letters of appointment for the dean's signature. Appointments of full time lecturers are generally limited to three years, and where exceptions are proposed they must be accompanied by a letter from the chair outlining why it is not possible to have the courses taught by other faculty. Such extensions must be approved by the provost, and are the exception rather than the rule.

Departments that make extensive use of academic support staff should establish procedures for periodic review of staff to ensure that they remain qualified to teach, and that their teaching is up to the standards expected.

### **Affirmative Action Procedures**

We have a commitment to develop and maintain a faculty that is diverse in gender, race and national origin, at all levels and in all ranks.

The school's affirmative action officer, appointed by the dean, advises search committees and department chairs on affirmative action efforts, and reviews all personnel actions to ensure that serious efforts have been made to identify the best women and underrepresented minority candidates.

The presumption is that every search will make extra efforts to identify excellent candidates who are women and from underrepresented minority groups, regardless of whether they have applied for the position, that careful efforts will be made to attract them as candidates. We will expect that the top minority and women candidates will be interviewed prior to making a decision on a list of recommended candidates.

Ultimately, the proof of affirmative action is in the results. Departments or programs that fail to make progress in developing a more diverse faculty may find that appointments are rejected by the dean or provost until they adopt more effective strategies.

### **Immigration Status**

As a condition of granting permanent tenure, the university requires that faculty be American citizens or have permanent resident status in the United States. Obtaining a permanent resident visa requires a lengthy process, so departments are advised to plan well ahead of the time that the faculty member is required to be in residence.

## **IV. Other Policies**

### **Salary Review and Adjustments**

Salary adjustments are made based on merit during April and May of each academic year; they are effective on July 1, the start of next academic year. The dean is responsible for setting the annual increment, if any, in conformity with university-wide policies.

Each year, the provost establishes a normal range for increments, and a pool of resources that the school is able to distribute across the faculty as salary increases. The range and the basis for the salary pool are published in the Almanac each spring. Increments above and below the provost's range must be approved by the provost.

Special increments beyond the range may be justified by promotion to a higher rank, or by grant of permanent tenure.

Each member of the standing faculty, practitioner educator and adjunct faculty member is asked to provide an annual activity report early in the spring semester, enumerating their accomplishments over the preceding calendar year. Teaching evaluations are assembled, and department chairs are asked for their recommendations on the relative increments of each of their faculty.

The dean's decisions on salary increments, and reasons for them, are communicated in annual letters to all faculty eligible for increments. Every effort is made to ensure that salaries are competitive with peers elsewhere, and the dean has available annual surveys of salaries by rank at a group of comparable schools. These are also made available to senate the committee on the economic status of the faculty, whose analyses are published annually in the Almanac.

Faculty who feel that their salaries do not reflect their contribution or opportunities elsewhere are encouraged to discuss these concerns with the dean.

## **Extra Compensation**

The general policy of the university is that full time faculty should not be paid additional compensation for items that are their normal responsibility, such as teaching or research, during the regular academic year. Faculty may buy out teaching commitments through sponsored research funding in order to free up more of their time for research, but their salary is not affected. Unusually heavy teaching loads should be compensated for by correspondingly lighter loads in a future semester.

Faculty members are, however, eligible to augment their academic base salaries by several types of additional activities:

- Summer salary for courses taught over summer months, with the salary level set by the department chair.
- Summer salary for sponsored research conducted during the summer, based on a pro-rata share of their academic base salary, but not more than an additional 2/9.
- Administrative stipends reflecting added responsibilities and/or summer service, up to 2/9 of the academic base salary.
- Salary for teaching in evening, extension and specialized or supplemental programs in the university. Such additional teaching (“overload teaching”) must be approved in advance by the department chair and dean, and must not detract from the faculty member’s commitment to pursuing research or participating in department or school activities.
- Fees for professional projects undertaken through Penn Praxis, not exceeding 75 days per calendar year (1 day per week during academic year, 2 months in the summer.)

## **Faculty Leaves of Absence**

Two types of leaves of absence are available to the standing faculty of the university: scholarly leave and leave for employment elsewhere. All leaves require the approval of the department chair, dean and provost. No standing faculty member may be on leave for more than four semesters during any six years, without the explicit approval of the provost, president and trustees. Requests for extension of leaves beyond this limit have generally not been approved. The faculty handbook outlines the rules and regulations for leaves with and without salary; see [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_2.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_2.html)

Faculty members eligible for and requesting a sabbatical leave should write their department chair with an outline of the program of study they intend to pursue, not later than the end of December for leaves beginning in the subsequent academic year. The department chair should assess the ability to cover the teaching and other responsibilities of the faculty member, and recommend to the dean and provost whether the leave should be approved.

In a similar vein, leaves for employment elsewhere will only be granted when it is possible to cover the faculty member's responsibilities without disrupting the educational programs.

### **Voluntary Reduction of Duties**

Members of the standing faculty may request a reduction of duties of up to half time for a period not to exceed six years. Such reductions are granted only for full years, and only for good and sufficient reason such as serious illness or injury, child or family care, service to the community, or anticipation of moving to emeritus status. See: [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_2.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_2.html)

Also outlined in the faculty handbook are rules concerning reduction of duties for child or family care, and for extension of the normal tenure probationary period for time spent in such activities. See: [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_3.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_3.html)

### **Grievances**

The university and the school have both formal and informal processes for resolving faculty grievances. The best policy is generally to seek to resolve grievances informally before resorting to formal grievance procedures. Faculty who feel that they have been dealt with unfairly or inappropriately should discuss this with their department chair, or the dean, if the remedy is within their means. The university ombudsman is also available for advice on a completely confidential basis, and provides assistance in mediating disputes. In some situations, the department chair or dean may wish to appoint a special committee for fact finding and advice on how a dispute might be resolved most fairly.

The school has a standing committee on academic freedom and responsibility charged with hearing cases where faculty members feel that they have been subject to inappropriate action by administrators in the school. Faculty members contemplating asking this committee to act should discuss the matter in confidence with the chair of the committee before initiating formal procedures.

The university's formal faculty grievance procedure is outlined in detail in the faculty handbook at [http://upenn.edu/assoc-provost/handbook/ii\\_e\\_12.html](http://upenn.edu/assoc-provost/handbook/ii_e_12.html).

### **Conflict of Interest**

Faculty members are required to conform to the mores and ethical standards of the university, and the rules promulgated to enforce them. Faculty members are urged to be familiar with these rules, included in the faculty handbook at [http://upenn.edu/assoc-provost/handbook/ii\\_e\\_10.html](http://upenn.edu/assoc-provost/handbook/ii_e_10.html).

Examples of actions that can run counter to the university's ethical guidelines include: nepotism, discrimination on the basis of irrelevant characteristics, inappropriate use of

the university's name, and exploitation of any aspect of association with the university for unacceptable purposes or private gain.

All faculty members are required to report annually on outside organizations in which they have financial interests, and on any activities or relationships between those organizations and the university.

### **Conflict of Commitment**

Employment as a faculty member presumes a primary commitment of time and intellectual resources to the academic mission of the university and its functioning as a community. The university recognizes that its faculty members are not employees in a usual sense, and that a precise allocation of academic time and effort is inappropriate. Their pursuit of knowledge in their areas of competence is presumed to be a lifelong commitment.

A limited association of faculty members with public and non-profit agencies, professional firms and other organizations is entirely appropriate, especially when it enhances their competence and knowledge and offers an opportunity to see their ideas realized. However, faculty members may not engage in such extramural activities or associations if it detracts significantly from their availability for normal academic duties. These commitments for compensation may not exceed one day per seven-day week during the academic year.

Faculty members should also avoid situations which represent a conflict of commitment to the university. These include engaging in extensive activities or teaching with other universities that compete for the same students as our school, lending one's name to promotional materials at other universities, and engaging in activities outside the university that might otherwise be done within the university (such as sponsored research or special educational programs.) None of this should discourage faculty from lecturing at other universities, collaborating with colleagues elsewhere, or engaging in other activities that bring credit to our school.

Faculty members should discuss with their department chair in advance any continuing assignments that may fall under this umbrella. They must report to the dean annually the full range of their extramural activities.

Any full time member of the standing faculty, associated faculty or academic support staff who accepts a full-time position at another institution must notify his or her department chair and dean of that act at the time it takes place. Unless a leave of absence has been granted, the appointment at this university terminates as of the beginning of the new appointment.

### **Faculty Absences**

Membership in the standing faculty carries with it certain obligations that

do not apply to practitioner-educators, the associated faculty or academic support staff. Standing faculty responsibilities are implicit in the norms of the university, and the Handbook for Faculty and Administrators outlines the university's expectations: [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_1.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_1.html) . The higher level of responsibility for standing faculty, of course, is balanced by a substantial number of benefits, including the prospect of permanent tenure, periodic sabbaticals, and university contributions to the full range of benefits.

Responsibilities for practitioner educators are spelled out in appointment letters. They are negotiated annually in the case of adjunct faculty or lecturers. However, unless there is an explicit understanding to the contrary between the faculty member and the department chair, the policy below on absences generally applies.

Some flexibility in schedule is essential to supporting a productive faculty – for attendance at professional conferences, to conduct research in settings away from the campus, to carry out limited professional projects, and to expose faculty to the broader field. At the same time, teaching obligations must be honored, and faculty members need to be sufficiently available to allow the school to function effectively.

In balancing these sometimes-competing needs, we articulate four principles:

- When faculty members are unable to meet with their classes at the appointed time, it is their responsibility to reschedule classes, or to organize for colleagues to serve in their place. The school will not be responsible for paying for replacement faculty. Substitute teaching arrangements for more than a single session must be agreed to by the chair.
- Faculty members are to inform their department chair or program head in advance if they are expecting to be absent for more than a few days, and to provide an indication of how they may be reached.
- Faculty members are not expected to be absent for more than one full week in a given semester, for a conference or work-related reasons, without prior arrangement with the chair.
- Faculty members may not subcontract or make payments to other faculty or individuals to teach their courses, unless agreed to by the chair.

These principles are, of course, in addition to the general rule that standing faculty members should not spend in aggregate more than one day per seven-day week in extramural activities during the academic year.

### **Sanctions Against Members of the Faculty**

The imposition of a sanction on a faculty member of the University of Pennsylvania is a rare event. However, when situations that might lead to such an action arise, they must be

handled fairly and expeditiously. It is essential that the process protects the rights of the faculty member and addresses the legitimate concerns of the university.

The university's process for dealing with sanctions is set down in detail in the Handbook for Faculty and Administrators, and may be found on the web at [http://www.upenn.edu/assoc-provost/handbook/ii\\_e\\_16.html](http://www.upenn.edu/assoc-provost/handbook/ii_e_16.html)

### **Resignation**

Resignation of positions should be made by letter to the dean, with copies to the department chair.

Faculty members without permanent tenure who wish to resign should notify their department chairs by letter one year in advance, if possible, and no later than February 1 of the last year of their appointment. A faculty member with tenure should notify his or her department chair by letter one year in advance of resignation.

Updated as of September 1, 2004

Personnel Manual 090104.doc