THE PENNSYLVANIA STATE UNIVERSITY

ADMINISTRATIVE GUIDELINES FOR AC-23

PROMOTION AND TENURE PROCEDURES

AND REGULATIONS

2018 – 2019

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ADMINISTRATIVE GUIDELINES FOR AC-23: PROMOTION AND TENURE PROCEDURES AND REGULATIONS

Revised ***July 1, 2018***

I. INTRODUCTION

A. Purpose

The Administrative Guidelines are provided to implement the University's policy on promotion and tenure, AC-23, "Promotion and Tenure Procedures and Regulations." The Guidelines supplement but do not alter basic policies set forth in AC-23.

B. Applicability of Policy and Guidelines

1. The revised University promotion and tenure policy, AC-23, became effective on July 1, 1975.

2. The Administrative Guidelines are revised periodically to reflect recommendations of faculty committees and administrators for improving the effectiveness and efficiency of the review process.

    a. Faculty members being reviewed for promotion or tenure are subject to the particular version of the Administrative Guidelines in effect at the time of the review.

C. Exceptions to the Guidelines

1. Exceptions to the Guidelines require the approval of the Executive Vice President and Provost of the University.

2. In no case shall exceptions to the Guidelines alter the substantive rights granted under AC-23.

3. Requests for exceptions to the Guidelines shall be forwarded to the Executive Vice President and Provost by the dean, together with documentation to justify the exception being requested.

4. Exceptions are approved for one review cycle only and must be resubmitted for subsequent review cycles if necessary.

D. Terminology

1. Throughout this document certain generic terms are used to refer to specific offices and administrators as follows:

a. Campus review: Reviews by campuses in the University College and for faculty members at Abington College, Altoona College, Berks College, Capital College, Erie, The Behrend College, and the Great Valley School of Graduate Professional Studies who hold tenure in a college at University Park.

b. Campus chancellor review: Reviews by campus chancellors in the 14 campuses in the University College, and the campus chancellors at Abington College, Altoona College, Berks College, Capital College, Great Valley School of Graduate Professional Studies, and Erie, The Behrend College.

c. Department review: Reviews by department, division, and school review committees.

d. Department head review: Reviews by heads of departments and divisions and directors of schools in the academic colleges; the University Libraries; interdisciplinary and defense-related research units; the College of Medicine; the four-year colleges at other locations: Abington College, Altoona College, Berks College, Capital College, and Erie, The Behrend College.

e. College review: Reviews by college review committees or school review committees, as may be the case in the special mission campuses.

f. College dean review: Deans of the academic colleges, the dean of the University Libraries, the Vice President for Research, Vice President for Commonwealth Campuses, and chancellors of the four-year colleges at other locations: Abington College, Altoona College, Berks College, Capital College, and Erie, The Behrend College.

2. Where a specific officer is required to participate in the review process, that officer has been referred to specifically in this document.

E. Confidentiality in the Promotion and Tenure Process

1. The overall promotion and tenure process allows for feedback to faculty candidates at appropriate times and through appropriate academic administrators (e.g., division and department heads, chief academic officers, and deans) as described by the Administrative Guidelines for AC-23 (section V.I.1.). "College deans shall be responsible for ensuring that all faculty members in their units are advised by the appropriate academic administrator of the general results of the evaluation of their performance." Based on these guidelines, faculty members may inspect and review their dossiers upon completion of the review process each

year, except for the documents in the external assessment section which are required for promotion or tenure recommendations.

2. All aspects of the promotion and tenure process are otherwise confidential, including deliberation in committee and the specific decisions that are made at each review level, which will be revealed at the appropriate times by the dean or department head. Members of promotion and tenure committees participate with the understanding that all matters related to their deliberations remain confidential. In addition, faculty candidates under review are discouraged from approaching committee members at any time concerning the disposition of their review and should understand that inquiries of this type are deemed entirely inappropriate.

3. Confidentiality of the promotion and tenure process is to be respected forever, not just during that particular year of review.

II. CRITERIA STATEMENTS

Promotion shall be based on recognized performance and achievement in each of the several areas, as appropriate to the particular responsibilities assigned to the faculty member. Tenure shall be based on the potential for further achievement in the several areas enumerated above as indicated by performance during the provisional appointment. The presumption is that a positive tenure decision for an assistant professor is sufficient to warrant promotion to associate professor. In an exceptional case, a decision can be made to tenure but not to promote; however, the burden would be on the committee(s) or administrator(s) who wish to separate promotion from a positive tenure decision to show why promotion is not warranted.

A. Role of the Academic Unit in Elaborating General Criteria

1. The policy directs that all candidates for promotion and tenure shall be evaluated according to three general criteria which should be further defined and elaborated by each academic unit. The three general criteria are:

    a. The scholarship of teaching and learning;

    b. The scholarship of research and creative accomplishments;

    c. Service and the scholarship of service to the University, society, and the profession.

2. Academic administrators, with appropriate faculty participation, should develop a written statement of criteria and expectations that elaborates on the three general criteria and is consistent with the mission of the academic unit and the professional responsibilities normally carried by faculty members in the unit.

B. Role of the Academic Unit in Specifying Evaluative Methods for the Three Criteria

1. Academic administrators, with appropriate faculty participation, may develop a written statement of evaluative methods to assess the extent to which faculty members have met the criteria and expectations of the unit.

C. Special Guidelines for the Criterion of The Scholarship of Teaching and Learning

1. Evaluation of teaching effectiveness shall be based on both student input and faculty information about the quality of the teaching. The process shall incorporate a variety of evidence from students, peers, and the faculty member under review that speaks to the quality and effectiveness of teaching:

a. Information from students: This category of information shall include multiple sources of evidence, some of which is suitable for comparative evaluations. In addition to the required data gained from SRTE forms (see Appendix A) other methods for assessing student responses shall include at least one of the following:[1]

(1) Summary of written student evaluations.

(2) Summary of formal interviews with students at the end of the semester.

(3) Summary of exit surveys.

b. Information from the individual under review: This category of information can be satisfied in the narrative statement (see III.C.2.e) in which the faculty member reflects on his or her teaching philosophy or goals, and/or by the submission of teaching portfolios that provide faculty with the forum to place their work in context, much as faculty share their programs of research and creative activity, in order to facilitate peer review.

The formation of a teaching portfolio allows the individual faculty member to:

[1] In addition to the SRTEs and one or more of these other options for receiving information from students, units may choose to add evidence from other evaluation instruments with known psychometric properties. Examples include the Student Evaluation of Educational Quality (SEEQ), Instructional Assessment System (University of Washington), and the Instructional Development and Effectiveness Assessment (Kansas State University). Information about these instruments and others may be obtained from the Schreyer Institute for Teaching Excellence (teachinglearning@psu.edu or 814-865-8659).

(1) Explain the nature of the various teaching tasks assigned and undertaken.

(2) Describe the means chosen to achieve those goals.

(3) Provide evidence that the goals have been achieved.

(4) State how one intends to teach more effectively in the future.

(5) Write a statement about teaching philosophy.

Faculty members are free to include whatever evidence they may choose that displays how they go about teaching and what philosophy of teaching motivates their pedagogical decisions.

All material in a teaching portfolio supplied by the faculty member is not included in the dossier, but rather should be included in the supplementary material retained at the department level, just as are copies of research publications and examples of creative activity. It is assumed that, as with the case of supplementary materials for research, such supplementary teaching materials would be reviewed by evaluating committees and administrators prior to the college level, and that they would be available upon request at the college and university levels.

c. Information from other faculty (peer review):

Peer review is the process by which an individual's peers can evaluate a full range of teaching activities. Most usually it involves class visitation. Peer review shall consider a range of teaching activities, including, but not limited to, the development of materials such as case studies and class assignments, advising, research collaboration, and graduate student mentoring. (Some of this evidence might be made available to peers by the candidate via a teaching portfolio.) The specific means and methods employed by a particular unit shall be adopted by that unit to address its own unique standards and practices.

d. Information from other sources:

The review process may also include a review of information gathered from such sources as alumni, former students, national associations, and professional groups. Unit guidelines should determine when and how these procedures will be used.

D. Assessing the Scholarship of Research and Creative Accomplishments

It is expected that units encourage and support collaborative and interdisciplinary research and that units will develop methods to assess these activities.

E. Role of the Executive Vice President and Provost

1. The Executive Vice President and Provost shall approve all statements of criteria and expectations.

2. The Executive Vice President and Provost shall maintain a master set of approved statements of criteria and expectations.

F. Dissemination of Criteria Statements

1. Deans shall ensure that faculty members are informed about the criteria and expectations that have been developed for their respective units.

2. Deans shall ensure that a copy of the current statement of criteria and expectations for their respective units is on file in the Office of the Executive Vice President and Provost.

III. THE DOSSIER

A. Forms for the Dossier

1. The Executive Vice President and Provost shall be responsible for developing and maintaining forms to be used in preparing each candidate's dossier.

2. The forms shall be distributed to the various academic units at the beginning of each review cycle upon request of the unit.

B. Responsibility for Preparation of the Dossier

1. For University College and Great Valley School of Graduate Professional Studies faculty members, the director of academic affairs of the candidate's campus has the responsibility for preparing the dossier.

2. For colleges at University Park and other locations, the department head has the responsibility for preparing the dossier.

3. It is ultimately the responsibility of the college dean to ensure that each dossier follows the proper format and is accurate and complete.

4. Insofar as a faculty member under review may need to supply materials for the dossier, there is a sense in which there is some shared responsibility between the faculty member and the administrator for the timely preparation of the dossier. (See III.E.1.)

C. Content and Organization of Information in the Dossier

1. A standard format for presenting and organizing the information in the dossier shall be used by all academic units.

2. The dossier shall contain the following sections, organized according to the sequence provided below:

a. Promotion and tenure form(s);

b. Biographical data for promotion/tenure review form;

c. Budget assignment form (optional);

d. College criteria statement; department criteria statement where applicable;

e. A narrative statement indicates a candidate's sense of their scholarship of teaching and learning; scholarship of research and creative accomplishments; and service and the scholarship of service to the University, society, and the profession.

The purpose of this statement is not so much to call attention to achievements that are listed elsewhere in the dossier as it is to give candidates the opportunity to place their work and activities in the context of their overall goals and agendas. The statement should be no longer than one or two pages (in 10 point font), with three pages being the optimal outer limit.

f. Candidate signature statement (to be used for provisional reviews as well as promotion and final tenure reviews).

g. The scholarship of teaching and learning (paginate A-1, A-2, etc.);

h. The scholarship of research and creative accomplishments (paginate B-1, B-2, etc.);

i. Service and the scholarship of service to the University, society, and the profession (paginate C-1, C-2, etc.);

j. For faculty members in the University Libraries, a section on the scholarship of librarianship is included immediately preceding the

section on the scholarship of teaching and learning (paginate L-1, L-2, etc.);

k. For faculty members in the College of Medicine, a section on patient care activities is included immediately following the section on the scholarship of teaching and learning (paginate M-1, M-2, etc.);

l. External letters of assessment (if appropriate), log of external letters, and statement of how external evaluators were selected; however, all internal letters evaluating teaching performance shall be placed in the section on the scholarship of teaching and learning (paginate D-1, D-2, etc.);

m. Statements of evaluation of the candidate by review committees and administrators (paginate E-1, E-2, etc.);

3. Items a. through j. in the list in section III.C.2. are factual and informational sections of the dossier; item l. is the confidential section of the dossier and shall not be accessible for review or inspection by the candidate.

4. More detailed descriptions of appropriate contents for dossier sections are printed on divider forms. (See Appendix F.)

5. Supplemental support materials (e.g., books, reprints, syllabi and teaching portfolios, vita, narrative statement sent to external reviewers) must be collected along with the dossier at the campus and departmental review levels and it is expected that they would be reviewed by campus and department peer review committees. These supplemental materials shall not be forwarded with the dossier unless requested by those responsible for the next level of review.

6. Outreach activities should be properly documented and considered in the promotion and tenure process: Under service when they are mostly service, under teaching when they involve teaching, and under research and scholarship when they result in publication or activity that can be valued in those terms.

7. Publications, whether journal articles, book chapters, conference proceedings, or in any of the other categories of publications listed in the divider for Scholarship of Research, and Creative Accomplishments, should be evaluated under the bullets described by the divider. For example:

a. Departments should use their existing criteria for evaluating publications, such as credentials of editorial board members, utilization of a blind review process, and reputation of the publisher.

Departments should consider the quality and reputation of the publisher. Examples of reputable publishers are well-known commercial presses, university presses, and established academic and professional associations.

Articles posted electronically by the individual faculty member without a formal review are not to be listed in the dossier.

8. Listings of work in progress and grants not funded should be eliminated from all sixth-year, ninth-year, and early tenure reviews and all promotion reviews beyond the assistant professor level or equivalent. Work accepted, submitted, or under contract should continue to be listed in all dossiers.

9. If a unit desires to make use of an internal letter where the knowledge or expertise of a faculty member not on the promotion and tenure committee is solicited, the letter should be signed and included in its entirety in the section of the dossier that it addresses (i.e., the scholarship of teaching, research, or service). If more than one area is addressed, a decision will have to be made concerning in which section it should be placed. Unlike the external letters, these letters will be accessible for review by the candidates.

10. Dossiers should <u>not</u> contain the following items unless unusual circumstances prevail and the materials are necessary for making recommendations. (This judgment shall be made by the college dean.)

a. Evaluative statements written by the candidate;

b. Statements about a candidate's personal life unless they are germane to the quality of the candidate's work;

c. A vita which restates information presented elsewhere in the dossier;

d. Samples of the candidate's publications;

e. Letters of appreciation or thanks;

f. Course outlines.

11. All review committees and administrators shall have the same factual record available for the review.

12. Promotion and tenure decisions may require different documentation of prior reviews.

    a. For candidates for tenure, the evaluative statements from the previous provisional tenure reviews shall be included in the dossier in the section labeled "Statements of Evaluation of the Candidate by Review Committees and Administrators." The actual statements (not an abstract) shall be presented in chronological order beginning with the earliest provisional reviews through the most recent provisional reviews. For candidates who were granted a stay of tenure or a leave, additional evaluations beyond the five years, and no more than the most recent seven years, may be included to provide sufficient evaluations.

    b. For candidates <u>for promotion only</u>, evaluative statements pertinent to the <u>current</u> promotion action are to be included. Evaluative statements from prior promotion reviews and from prior tenure reviews are <u>not</u> to be included.

    c. If actions to consider a tenure decision and a promotion decision are <u>simultaneous</u>, one dossier should be prepared with two copies of the promotion and tenure form (signatory pages), one to document decisions on the tenure consideration and the other to document decisions on the promotion consideration. In such cases, the dossier should include evaluative statements from previous provisional tenure reviews. External referees should address both concerns in a single letter. Moreover, both decisions should be addressed in a single letter from committee chairs and administrators. (See V.H.3.)

D. Dissemination of Information about Dossier Preparation

1. College deans and campus chancellors shall ensure that faculty members in their respective units are informed about the manner in which dossiers are prepared and the appropriate content of dossiers.

2. Departments and colleges are obligated to provide candidates for promotion and tenure with the information they need to meet the tenure requirements of their units and to prepare for the necessary reviews in the tenure and/or promotion process. Workshops, promotion and tenure style sheets (prepared by the colleges), and sample or "mock" dossiers should be made available to all candidates. Clear procedural guidelines should be presented in writing to the candidate by the department and/or college. Each college should hold an annual group meeting with candidates for promotion and tenure to discuss the process and expectations.

3. The Executive Vice President and Provost shall be responsible for ensuring that workshops to inform faculty members, review committees, and academic administrators about dossier preparation and review procedures are conducted periodically.

E. Role of the Faculty Member in Preparation of the Dossier

1. Each faculty member shall assist in supplying relevant information for his or her dossier. (See III.B.4.)

2. Each faculty member shall be provided an opportunity to review for accuracy and completeness the factual records and informational material contained in the dossier prior to the beginning of the review process. For tenure reviews, the dossier will contain complete written copies of the following materials prepared during earlier reviews:

   a. Written statements concerning peer review of teaching;

   b. Tenure review letters from department heads and deans;

   c. Tenure recommendations and other communications prepared by department and college review committees.

   For promotion actions, recommendations and letters related to earlier promotion reviews shall not be included in the dossier. Faculty members shall not review those letters, recommendations and other communications deemed confidential. (See III.C.3.)

3. Reviewers should come from lists of names submitted or created by sources other than the candidate, as well as from a list of possibilities submitted by the candidate, although it is not required that the final list of external reviewers include recommendations from the candidate. In no case should the candidate solicit directly the external assessment letters. (See III.G.)

F. Changes or New Information in the Informational Sections of the Dossier after the Review Process Has Begun

1. All review committees and administrators who have completed their review of a candidate shall be informed about any factual changes or new information in the original materials in the dossier subsequent to their review.

2. All review committees and administrators who are informed about factual changes, as described above, shall have the opportunity to reconsider their recommendation.

3. The deadline for submission of factual changes or new information is the weekday coincident with or immediately following February 15.

G. External Letters of Assessment

1. External letters of assessment must be obtained for candidates being reviewed for sixth-year or early tenure and for promotion.

2. Dossiers shall include a minimum of four letters from external evaluators.

3. The college dean is responsible for obtaining external letters of assessment.

4. The process of obtaining external letters of assessment should begin far enough in advance of the review process that letters are in the dossier and available to review committees and administrators at all levels of review. If letters arrive after the review process has begun, individuals involved in those levels of review already completed shall be notified by the dean of the receipt of the letters, provided with access to the letters, and provided with an opportunity to reconsider their recommendation. (See III.C.11; III.F.)

5. A log shall be inserted in the dossier to document ***(the log should only include those evaluators who received items detailed in line 11 of the External Letters of Assessment section)***:

   a. Date of request to external evaluator;

   b. Date of receipt of letter from external evaluator;

   c. Date of entry of letter in dossier.

6. The log shall not be made available to the candidate at any time. (See III.C.3)

7. The college dean shall be responsible for providing a statement explaining the method by which the external evaluators were selected.

8. The college dean shall be responsible for providing a brief biographical statement about the qualifications of the external evaluator; special attention should be given to documenting the evaluator's standing in his or her discipline as part of the biographical statement.

9. A copy of the letter requesting the external evaluation shall be inserted in the dossier; the request should be for a critical evaluation of the candidate's achievements and reputation within his or her discipline, with reference to the mission and assignment of the candidate. Requests should

be for letters of assessment, not for letters of recommendation. (See Appendix C.)

a. If the same letter is sent to all external evaluators, one sample copy of the letter shall be inserted in the dossier. If different letters are used, a copy of each letter shall be inserted in the dossier.

10. Deans are urged to request letters from diverse sources and urged not to request external assessments from the candidate's former teachers and students, those who have collaborated significantly with the candidate or others whose relationship to the candidate might make objective assessments difficult. External evaluators should be asked to describe the nature of their association with the candidate. Evaluators should be in a position to make informed judgments about the candidate's work.

11. Deans should be consistent in what materials of the candidate they send to external evaluators. Appropriate materials usually include the candidate's vita and, depending on the number involved, all or a representative selection of the candidate's publications. Colleges may if they wish prescribe that candidates' narrative statements be included in the materials sent to external evaluators. Under no circumstance should the dossier as a whole be sent to the external evaluator. Since the focus of evaluation is to be on the candidate's research and/or creative activity, additional items related to teaching or service should not be included in materials that are sent to external reviewers. Units should describe their policy in their promotion and tenure guidelines (or criteria statements).

12. Deans must request external assessments from individuals who are of higher rank than the candidate. It is inappropriate to request assessments from non-tenured assistant professors for candidates for tenure or promotion to associate professor, and so forth.

IV. REVIEW COMMITTEES

A. Review Committees to Be Established

1. Non-University Park colleges and the Great Valley School of Graduate Professional Studies at the campus level shall provide the first level of review for faculty members whose locus of tenure is in a University Park college.

2. Each academic department (or similar academic unit) shall have a review committee to conduct promotion and tenure reviews for faculty members in that unit.

3. The academic colleges, the University Libraries, interdisciplinary and

defense-related research units, and the four-year colleges at other locations, shall have a review committee to conduct promotion and tenure reviews for faculty members in that unit.

4. The University Promotion and Tenure Review Committee shall be constituted according to the provisions set forth in AC-23. (See III: Review Procedures, Composition of University Review Committee in AC-23.)

B. Composition and Size of Review Committees

1. Review committees shall have at least three members.

2. Although not required, it is recommended that review committees be limited to a maximum of seven members. To avoid tie votes, it is also recommended that committees have an odd number of members. A tie vote is considered to be a negative recommendation, and the "Not Recommended" block is to be checked on the "Promotion and Tenure Form" in such circumstances.

3. Only tenured faculty members are eligible to serve on promotion and tenure committees.

4. Only faculty of higher rank than the candidate shall make recommendations about promotion or consideration for promotion.

5. For faculty members at non-University Park locations whose tenure or provisional tenure status is at a University Park college, at least one member of the review committee at both the department and college levels must be from a non-University Park location.

C. Procedures for Establishing Review Committees

1. Members of review committees shall be selected according to procedures approved by the faculty of the respective unit and by the appropriate academic administrator. Only tenured and tenure-line faculty are eligible to vote for members of all promotion and tenure committees.

2. If a campus or an academic department does not have at least three faculty members who are eligible to serve on a review committee, faculty members in related fields from other campuses or academic departments shall be appointed by the campus chancellor or the department head, respectively, to serve on the committee.

3. When it is not possible to constitute a department committee with faculty of higher rank, the first priority in constituting a review committee shall be to add faculty of a higher rank from a similar discipline within the

candidate's college.

4. If the academic administrator must go beyond the candidate's college to constitute a review committee, approval for such action is required from the Executive Vice President and Provost.

5. Although it is not required, it is recommended that review committees be selected as follows:

   a. At least two-thirds of the membership elected by the faculty;

   b. At least one-quarter of the membership appointed by the academic administrator of the respective unit;

   c. A majority of the faculty members should hold the rank of professor. (See IV.B.4.)

6. Chairs of review committees may be appointed by the academic administrator of the respective unit, subject to the provisions of section IV.C.1.

D. Notification of the Establishment of Review Committees

1. All campus, departmental, and college administrators shall submit the membership of the review committee of their respective unit at the beginning of each review cycle. (See Appendix B.)

2. At the same time as the membership lists are submitted, academic administrators shall submit a report describing the establishment of the review committee in their respective unit or shall state in writing that the procedures for establishing the committee have not changed since the previous review cycle.

3. College deans are responsible for collecting membership lists from academic departments in their colleges and forwarding them to the Executive Vice President and Provost.

E. Independent Judgments of Review Committees

1. Each unit shall review its procedures to assure that they protect the independence of review committees from undue administrative influence. Administrators shall not be present during review discussions or when votes are being taken. Administrators may be invited for consultation if the committee deems it appropriate.

2. Academic administrators should not be appointed to committees or be present for discussion or votes.

V. REVIEW PROCEDURES

A. Review Schedule

1. The review process shall follow a consistent pattern and sequence of review for all candidates.

    a. The timetable for the reviews is given in Appendix B.

    b. Flow charts describing the events and the sequence in the review process are given in Appendix D.

2. The review process is initiated each academic year with the issuance by the Executive Vice President and Provost of the Administrative Guidelines to be used for that year's review cycle.

    a. Administrative Guidelines are distributed to college deans, who are responsible for further distribution of the Administrative Guidelines within their respective units.

3. The Office of Human Resources shall be responsible for providing college deans with a list of all tenure-eligible faculty members in their respective units, together with an indication for each faculty member of the number of years of credit earned toward tenure as of the next July 1, and an identification of faculty members subject to:

    a. Second-year provisional tenure review;

    b. Third-year provisional tenure review (College of Medicine);

    c. Fourth-year provisional tenure review;

    d. Sixth-year provisional tenure review (College of Medicine);

    e. Sixth-year (final) tenure review;

    f. Ninth-year (final) tenure review (College of Medicine).

4. Promotion and tenure reviews should begin immediately following the actions described in section V.A.2. and V.A.3. above.

5. The review processes for promotion and tenure may occur simultaneously and should if promotion is being considered prior to the sixth-year, or for the College of Medicine prior to the ninth-year tenure review.

B. Participants in the Review Process

1. For provisional year (second- and fourth-year or for the College of Medicine the third- and sixth-year) tenure reviews, the following committees and administrators shall conduct reviews:

   a. Campus review committee, if appropriate;

   b. Campus chancellor, if appropriate;

   c. Department review committee, if appropriate;

   d. Department head, if appropriate;

   e. College dean.

2. For provisional year (i.e., prior to the final sixth-year, or for the College of Medicine the ninth-year, and early) tenure reviews, the college review committee may, but is not required to, conduct a review. However, if the dean is considering termination of a faculty member after any provisional reviews despite positive recommendations from both the department committee and the department head, then the dossier must also be reviewed by the college committee prior to the dean acting.

3. All second-year reviews shall be held in the second semester of the second year. At the College of Medicine reviews will be held in the third year.

4. For final (sixth-year or ninth-year at the College of Medicine) and early tenure reviews and promotion of tenure-line faculty, the following committees and administrators shall conduct reviews:[2]

   a. Campus review committee, if appropriate;

   b. Campus chancellor, if appropriate;

   c. Secondary department head, if appropriate;

   d. Department review committee, if appropriate;

   e. Department head, if appropriate;

   f. College review committee, if appropriate;

[2]Promotions to assistant professor that have been made contingent upon completion of the doctoral degree (or other terminal degree, as appropriate) do not follow the review process described in this section.

g. College dean;

h. The University Promotion and Tenure Review Committee, for candidates receiving positive recommendations from the dean (or all positive reviews prior to the dean's review);

i. The Executive Vice President and Provost, for those candidates reviewed by the University Promotion and Tenure Review Committee;

j. Approval or disapproval of recommendations for those candidates reviewed by the University Promotion and Tenure Review Committee shall be the responsibility of the President of the University.

5. The Vice President for Research shall be responsible for coordinating promotion reviews for personnel in interdisciplinary and defense-related research units. The Vice President shall forward positive recommendations for promotion for faculty not holding joint appointments in a college to the Executive Vice President and Provost through the Office of Human Resources for transmittal to the University Promotion and Tenure Review Committee.

6. For faculty members holding joint appointments in two or more colleges, the positive recommendation shall be forwarded by the college responsible for the largest share of the salary.

C. Nomination Process for Promotion

1. Tenure consideration for assistant professors will be accompanied by consideration for promotion to associate professor. In other situations, faculty members will be reviewed for promotion only after being nominated as follows:

a. Nominated by an appropriate academic administrator;

b. Nominated by the campus review committee (if appropriate) or by the department review committee after consultation with the appropriate academic administrator.

2. For faculty whose tenure is outside of the college of residence, local committees or administrators should not begin the promotion process without consultation with the department head. Unless the department head, the department committee, or the dean support a recommendation to begin a promotion review, the process should not be initiated. It is also assumed that for faculty at non-University Park colleges, department

heads would consult with campus or college administrators in the college of residence before initiating the promotion process.

D. Withdrawal of a Promotion Dossier After a Negative Department Review

1. When a tenured faculty member is being reviewed for promotion (unrelated to a tenure review), or an untenured faculty member is being reviewed for promotion prior to tenure, once the dossier has been prepared, reviewed and signed by the candidate and submitted to the first review committee for consideration, the dossier cannot be withdrawn before action by the dean, unless the candidate so desires. If the department committee and the department head do not support a promotion after reviewing the completed dossier, the candidate should be so informed and given the option of withdrawing his or her candidacy.

E. Promotion Procedures for Fixed-Term Faculty

1. In some units, perhaps by college policy, fixed-term faculty serve under a single title, such as instructor or lecturer.

2. Other units offer fixed-term faculty professorial titles. In such instances, advancement from one title to the next must involve recommendations by the department peer committee, the department head or other appropriate administrator, and a college peer committee before the dean takes final action.

3. As noted in policy AC-21, "Definition of Academic Ranks," all colleges should, and in accordance with University policies, have their own guidelines for promoting from one rank to another.

F. Faculty on Joint Appointments

1. If the dean of a college delegates the identification of external referees to the head of the department, and the faculty member being reviewed is on a permanently budgeted joint appointment, the department head should consult with the head of the secondary unit. The department head of the secondary unit is required to submit a letter for the dossier. Before writing that letter, the head of the secondary department should be given the complete dossier for review.

2. If the secondary department head chooses to consult with a departmental promotion and tenure committee before writing the letter, the dossier should be shared with that unit as well. (However, in no case will the committee of the secondary unit be invited to submit a letter of recommendation on its own.) The letter from the secondary department head will appear in the dossier in front of the primary department head's

letter, but it should be made available to the promotion and tenure committee of the primary department before it begins its review.

3. If a faculty member is co-funded in an inter-college consortia or institute, satisfactory progress in fulfilling the objectives agreed to by the college and consortia upon appointment will be necessary for the college to retain that co-funding. However, promotion and tenure are decisions determined by criteria set in the department and college; input from the consortia or institute is not required, but if input is sought, a given college must do so consistently for all candidates with that college.

4. For faculty members holding joint appointments in two colleges, the dean of the primary college must consult with the dean of the secondary college before writing his or her letter for any promotion or tenure review.

G. Consultation in the Review Process

1. Department heads, campus chancellors, and deans should consult with the respective review committees to ensure that all committee members are well informed about each candidate.

2. Although it is not required, academic administrators may serve as resource persons to their respective review committees; however, the administrators and the committees shall render independent judgments of the candidates being reviewed. The academic administrator shall not be present during peer review discussions or when votes are being taken.

3. When an administrator differs with the committee at the same level of review—e.g., the department head and the department committee—or a committee differs with the administrator at the previous review level—e.g., the college committee and the department head—consultation must occur about reasons for divergence. Consultation should be initiated by the committee or administrator differing with or seeking clarification concerning the previous recommendation (e.g., a department head would initiate consultation with the departmental review committee and the dean with the college committee; the college committee would initiate consultation with the department head; and the University Promotion and Tenure Review Committee with the dean). In cases when the University Promotion and Tenure Review Committee (1) differs from that of the dean's recommendation, and (2) when the dean's recommendation is contrary to all previous reviews, the University Committee must consult with the dean and may consult with the chair of the college committee as well. Consultation should be initiated after the previous review has been completed and a recommendation has been made in writing. The letter from the previous review level cannot be revised after the consultation.

4. All reviews of faculty whose tenure is with a college at a location different from the college of residence should receive input from the department head.

H. Role of Review Committees and Administrators

1. Review committees and administrators shall give special attention to the candidate's assignment and the mission of the unit in applying criteria and expectations.

2. Review committees and administrators shall render independent judgments of the candidates being reviewed. Academic administrators and review committees are expected to consult as needed.

3. Each review committee and each administrative officer shall summarize in writing the independent evaluation of a candidate on each of the three criteria specified in AC-23. If promotion and tenure considerations are simultaneous, both decisions should be addressed in a single letter from committee chairs and administrators.

   a. These evaluative statements shall be placed in the dossier in the section labeled "Statements of Evaluation of the Candidate by Review Committees and Administrators." (See Appendix F.)

   b. Each evaluative statement shall be signed and dated; for committee statements, the name and rank of each member shall be listed and the statement shall be signed by at least the committee chair.

   c. For committee recommendations, the numerical vote shall be reported in the evaluative statement.

   d. When a committee has not reached a unanimous vote on a candidate, the evaluative statement shall include a discussion of the reasons for divergent opinions.

   e. Committee members should abstain only when there is a legitimate conflict of interest, such as a relative being considered for promotion or tenure, or when there may have been an earlier vote on the candidate in the same review year. If there is an abstention, the reason might be noted in the evaluative statement. A committee member who is abstaining should not be present for the discussion or the vote.

   f. The letters from the department committee, department head, and college committee should be addressed to the dean, and the letter from the dean should be addressed to the Executive Vice President and Provost.

4. Review committees and administrators at each succeeding level of review shall be responsible for reviewing preceding committee and administrator evaluative statements.

5. At each level of review, special emphasis shall be given to the particular criteria and expectations for that level of review, consistent with the three general criteria. For candidates who have completed interdisciplinary work, special attention shall be given to evaluating the quality and significance of such work.

6. Reviewers at each level of review shall exercise professional judgment about the accomplishments and potential of each candidate as follows:

   a. Campus reviews of University College faculty, or tenure-track faculty at a University Park college but residing at a non-University Park location: All three criteria should be evaluated.

   b. Department: All three criteria should be evaluated.

   c. College: Review campus and/or department recommendations in light of:

      (1) College criteria and expectations;

      (2) Equity among departments; and

      (3) Procedural fairness.

   d. University: Review all previous recommendations in light of:

      (1) University criteria and expectations;

      (2) Equity within and among colleges; and

      (3) Procedural fairness.

7. In their evaluations of candidates for promotion, committees and administrators shall understand that time-in-rank is not a criterion; it is incumbent on the reviewers to provide persuasive documentation for promotion recommendations that differ significantly from normal promotion patterns for a campus, department, or college.

8. The University Promotion and Tenure Review Committee shall forward all correspondence between the Committee and the deans to the Executive Vice President and Provost when the dossier is forwarded.

9. Throughout the review process, the privacy rights of individuals shall be respected.

   a. External evaluators shall not be identified in evaluative statements prepared by review committees or administrators.

I. Information to Faculty Members about Evaluations of Performance

1. College deans shall be responsible for ensuring that all faculty members in their units are advised by the appropriate academic administrator of the general results of the evaluation of their performance.

2. All candidates for tenure and/or promotion will be informed by the dean whether or not their dossiers have been forwarded to the University Promotion and Tenure Review Committee.

3. As specified in AC-23, faculty members who will not be continued in tenure-eligible positions shall be notified in writing. Notification must come no later than March 1 of the first academic year if termination is to occur by June 30 of that year. Thereafter, notification must come at least 12 months before June 30 of the following academic year.

4. Deans shall be responsible for promptly informing, in writing, those faculty members who do not receive a positive recommendation for permanent tenure at the college level. An unsatisfactory tenure review in provisional tenure years may result in termination prior to the sixth-year**,** or ninth-year at the College of Medicine. (See Appendix K.)

5. For provisional tenure reviews prior to the final (sixth-year or ninth-year at the College of Medicine) or early tenure reviews, the college dean shall be required to write evaluative letters that are addressed directly to the candidate. The dean's letter will then be included in the dossiers submitted for subsequent tenure reviews. Department heads should discuss the results of these reviews, including the dean's letter, with the candidate. The candidate should receive written copies of all such evaluative letters.

   a. For University College and Great Valley School of Graduate Professional Studies faculty members the communication to the faculty member shall be via the campus chancellor after consultation with the Vice President for Commonwealth Campuses and should include a report of the reviews at the campus level.

   b. For non-University Park faculty members whose review has been by a University Park department head and dean, the results of the review may be communicated by the appropriate administrators of the college or campus of residence.

6. The President of the University shall inform, in writing, all candidates who are approved for promotion to associate professor and professor and for permanent tenure. Letters are sent to the candidate via the college dean.

   a. When continuing faculty are awarded tenure, tenure status will be effective July 1 immediately following the decision. Those who are not awarded tenure in their sixth-year, or ninth-year at the College of Medicine, will be given written notice that University employment will terminate at the end of the seventh, or tenth-year at the College of Medicine, and final year of their provisional period.

   b. Copies of the letters shall be provided to the appropriate deans, the Vice President for Research, campus chancellors, and the Office of Human Resources.

7. At the end of unsuccessful promotion cases of faculty in campus colleges who are tenured at University Park, deans should send copies of the college letters to the Vice President for Commonwealth Campuses, who may share them with appropriate campus chancellors.

8. All faculty members who are not being reviewed for promotion and/or tenure in a given year shall have an evaluation of performance. (See AC-40, "Evaluation of Faculty Performance.")

   a. The evaluations shall be conducted by the deans, department heads, and campus chancellors, as appropriate. University Park department heads of faculty members who have retained tenure with them will be expected to contribute to their yearly evaluations.

   b. Department heads, college deans or campus chancellors, shall inform faculty members of the results of these annual evaluations in writing prior to the end of the academic year.

9. Upon completion of the entire review process, the dossier, except for the documents in the external assessment section, may be reviewed and inspected by the candidate in accordance with HR-60, "Access to Personnel Files."

J. Reports to Be Submitted Regarding the Review Process

1. The deans shall provide a summary of the promotion and tenure decisions and recommendations at each review level to the Executive Vice President and Provost at the conclusion of each review cycle.

a. A description of the general processes followed in the reviews shall be included in the summary.

b. Decisions of the colleges regarding promotion to assistant professor shall be included in the summary.

2. A summary of the annual evaluations conducted for all faculty members shall be forwarded to the Executive Vice President and Provost at the end of each academic year.

a. The summary shall include a description of the procedures used in the evaluations and the procedures used to inform faculty members of the results of their evaluations.

VI. STAYING OF THE PROVISIONAL TENURE PERIOD

Sometimes extenuating circumstances create great hardships for a faculty member going through tenure review. In order to provide equity to provisional faculty during stressful times such as the birth or adoption of a child, the placement of a foster child in the home, serious personal illness, or the provision of care for a close family member, a temporary staying of the provisional tenure period may be granted. The intent of this policy is to make allowances for personal emergencies, to give such affected faculty a more equal opportunity to earn tenure. This option should specifically <u>not</u> be made available to provisional faculty merely to give an extra year to prepare for the tenure review in the absence of extenuating circumstances.

A staying of the provisional tenure period should not penalize or adversely affect the faculty member in the tenure review. When promotion and tenure committee are charged, the following statement should be included as part of the charge. Deans should also include the statement in his/her letter when soliciting letters from external reviewers. "The time period for achieving tenure and promotion to associate professor can vary, including one or more extensions of the tenure clock. A faculty member who stops the tenure clock must be evaluated according to the number of years on the tenure clock, not the number of years since being hired. The faculty member should not be held to a standard higher than the one he/she would have had to meet if the tenure decision had been made in the year it was originally scheduled."

Guidelines for requests for a staying of the provisional tenure period are given in Appendix G.

APPENDIX A

STATEMENT OF PRACTICES FOR THE EVALUATION
OF TEACHING EFFECTIVENESS FOR PROMOTION AND TENURE

I. Introduction

Policy AC-23 requires that the evaluation of teaching effectiveness for purposes of promotion and tenure be based on both peer and student input. This statement outlines the procedures for obtaining and reporting that input as endorsed by the University Faculty Senate.

A. Student Evaluations

1. All units shall use the Student Rating of Teaching Effectiveness (SRTE) survey for student evaluation of teaching. This survey may be supplemented by other forms of student evaluation at the discretion of the faculty of the unit.

2. The SRTE survey is a "cafeteria" system with a fixed pool of items from which departments and individual faculty members select items most appropriate for their courses.

3. The SRTE survey consists of three sets of questions—a University core, a departmental core (the University's course abbreviation codes serve as a proxy for "department"), and individual faculty items rating the quality of the course and the quality of the instructor.

a. The University core consists of two global questions that are included on all survey forms, asking students to give an overall rating of the course and an overall rating of the instructor.

b. The departmental core consists of as many as 15 additional items from the pool, selected by the faculty of the academic unit. These items should be selected to reflect the nature of the discipline, type of class, and other factors the department faculty deem to be appropriate. Typically, course abbreviations have a number of different forms, each with questions that reflect the course type and/or instructional methods (e.g., introductory courses, seminars, labs, studios). The faculty of each unit shall be responsible for selecting the items that constitute the departmental forms, subject to the approval of the appropriate academic officer.

c. Individual faculty members may add up to five additional items from the pool to supplement the two global questions and the departmental core.

4. The Office of the Executive Vice President and Provost will be responsible for coordinating revisions to the SRTE survey. The Schreyer Institute for Teaching Excellence will be responsible for administrative procedures, scoring and reporting in consultation with the faculty.

5. A pool of items (questions about teaching) was developed by the Office of the Executive Vice President and Provost in consultation with faculty members and administrators from each unit and the Committee on Faculty Affairs of the University Faculty Senate. The pool includes both general and specific items about the areas of organization, structure or clarity of the course or course material, teacher-student interaction, teaching skills, instructional environment, and specific instructional settings.

6. A set of demographic questions and information was developed to facilitate the proper interpretation of survey results. The survey includes items about percentage of students in the class completing the survey, whether the course is required or an elective, and expected grade.

7. Items of the survey are rated on a seven-point scale with appropriate descriptors provided for the end points and the mid-point of the scale.

8. Results of the SRTE surveys shall belong to the faculty of the unit which administers them, not to the individual faculty member who was rated. Results shall be accessible to the department head for inclusion in promotion and tenure dossiers. The faculty member shall have access to his/her survey results.

9. Report of results:

    a. Demographic information

        (1) Appropriate demographic information is reported for each class completing the survey.

    b. Survey rating items

        (1) The reporting of results of the surveys includes the following information:

            (a) Percent of students selecting each response category;

            (b) Number of students selecting each response category; and

            (c) Mean for each item.

c. Appropriate controls for confidentiality of information shall be implemented by all units in distributing and storing the survey results.

10. Administration of the SRTE

a. Administration of the SRTEs is based on the guidelines listed below.

(1) Responses to survey items must remain anonymous.

(2) Directions to the students are uniform across administrations.

(3) The candidate shall not participate in the administration, collection, or compilation of the survey results.

(4) The candidate shall not be present while students complete the evaluation.

(5) In a traditional semester-long course, the SRTE offering period begins two weeks before the end of regular instruction and ends the day before the final exams begin. For courses of shorter duration, their offering period is one day per week of regular classes; a four-week course has a four-day offering period.

11. Frequency of reviews

a. The specific procedures for determining the frequency of reviews for the faculty members within a unit shall be determined by the college. These procedures must be developed in consultation with the faculty of the college. In addition to policy, courses may be reviewed at the request of the faculty member. The following principles about the frequency of reviews apply:

(1) Where possible, evaluations should be conducted over a period of years and in a variety of courses.

(2) For provisional faculty and fixed-term faculty, all sections of all courses shall be evaluated by the SRTE every time it is taught. The results from each of these evaluations must be included in the candidate's tenure dossier.

If there is some reason to explain the results or the absence of results in a particular case, the appropriate academic

administrator shall make a note to that effect in the dossier. For example, in advance of a course being taught for the first time in an experimental way, an administrator and a faculty member might agree not to administer the SRTE. Such agreements should be in writing.

(3) For all other faculty, each college must develop clear and specific guidelines for the frequency of the use of SRTEs, whether the college requires all courses to be reviewed or not. The guidelines must require frequent enough reviews to accomplish the purpose outlined in this Statement of Practices.

Since students now expect to have the opportunity to evaluate their instructors and their courses and since such evaluations continue to have value for many purposes, it is recommended that all sections of all courses shall be evaluated. College Guidelines will be reviewed by the Office of the Executive Vice President and Provost to ensure that they are consistent with these principles.

(4) Faculty being reviewed for promotion, even when it is not coupled with a tenure review, should be able to demonstrate their teaching achievements in part through student evaluations that have been done over time and in a variety of courses.

B. Peer Review of Teaching

1. In addition to student evaluation of teaching, there shall also be evaluation of a candidate's teaching by peers from the candidate's unit and campus.

2. The methods of peer evaluation to be used by a unit or a campus, as well as the manner in which the results are presented in the dossier, shall be selected by the faculty of the unit or the campus. The procedures must be developed by or selected by the faculty of the unit (or campus) for purposes of evaluating teaching for promotion and tenure. The Executive Vice President and Provost shall give final approval to peer review of teaching procedures.

C. Review Committee Reports

1. It is the responsibility of the first level review committee (i.e., campus, department, division, or school) to make a judgment of the candidate's teaching effectiveness based on both peer and student reviews in terms of the following classifications: Excellent, very good, satisfactory, and unsatisfactory. For faculty at non-University Park locations whose locus

of tenure resides in a University Park college, the campus review committee shall also make a judgment of the candidate's teaching effectiveness in terms of the same four-category classification. Reviewers should understand that unsatisfactory carries a negative connotation; satisfactory conveys a neutral evaluation; very good, a positive one; and excellent, a highly positive evaluation. The review committee must provide appropriate documentation for its judgment.

D. Summary of Research on Student Evaluation of Teaching Effectiveness

1. There is an abundance of research on all aspects of student evaluation of teaching effectiveness. The consensus in the literature is that while student evaluations are the most common strategy of evaluation, by themselves they are not sufficient to provide a complete evaluation of teaching.

2. Students, however, are in a unique position to make evaluations and are an appropriate source of information when they are judging student-instructor relationships, organization of the course, their views of the instructor's professional and ethical behavior, their workload, what they have learned in the course, fairness of grading, and the instructor's ability to communicate. They are not good sources from which to judge relevance and recency of course content, and knowledge and scholarship of the instructor.

3. Items found on student rating surveys are based on commonly identified characteristics of effective teaching and generally fall into three groups:

   a. Organization, structure or clarity of course, and course material;

   b. Teacher-student interaction; and,

   c. Teaching skill.

   Other subjects of evaluation include evaluation of workload in the course, grading and examinations, student outcomes, and global questions. For promotion and tenure purposes, the global or general questions have been found to be the most stable. In addition to instructional quality and student learning, several factors have been found to have some relation to student ratings: class size, subject matter, and expected grade. Whether a course is in a student's major, is being used to fulfill a requirement outside the major, or is an elective has also been found to have some relation to student ratings.

4. Student ratings have limitations.

   a. Because student evaluations commonly elicit numerical responses, it is easy to assign them a precision that they do not possess; i.e., it is easy to over interpret small differences in average scores.

   b. When such data are used for personnel decisions, the possibility of faculty influencing the ratings must be taken into consideration. Standardized and systematic procedures for administering student evaluations are essential to ensuring the usefulness of ratings.

   c. Student evaluations alone are not sufficient for either personnel decisions or for improvement of teaching.

APPENDIX B

TIMETABLE FOR ***2018-19*** PROMOTION AND TENURE REVIEWS

On or Before

July 1, 2018	Administrative Guidelines distributed.
August 10, 2018	Office of Human Resources provides reports to deans indicating number of years of credit toward tenure earned by faculty in their respective academic units and listing all faculty in their respective units who will have second-, fourth- and sixth-year**,** and at the College of Medicine the third-, sixth-, and ninth-year tenure reviews in ***2018-19***.
October 1, 2018	All promotion and tenure review committees and procedures established. In most cases, units will have established procedures previously and will continue to use them. If, however, changes are recommended, the changes must be adopted formally by the faculty, approved by the dean, and approved by the Executive Vice President and Provost prior to this date. Membership lists, including rank and title, for all promotion and tenure review committees forwarded to the Executive Vice President and Provost, together with a statement of procedures for forming review committees or a statement that such procedures have not changed.
November 2, 2018	All reviews for faculty at non-University Park locations who have retained their tenure status in a college at University Park completed and forwarded to college deans.
January 2, 2019	All department and division level reviews, except for second-year, completed and forwarded to the college dean.
February 15, 2019	All factual changes or new information must be submitted by this date.
March 1, 2019	All college level reviews completed; positive recommendations by the dean (and all positive reviews prior to the dean's review for final tenure regardless of the dean's recommendation) forwarded to the University Promotion and Tenure Review Committee via the Office of Human Resources.

On or Before

March 31, 2019	All department and division level second-year reviews (and second-year reviews at campuses in the University College or Great Valley School of Graduate Professional Studies) completed and forwarded to the college dean.
April 24, 2019	All reviews completed by the University Promotion and Tenure Review Committee; all recommendations forwarded to the Executive Vice President and Provost.
May 3, 2019	All final decisions on promotion and tenure completed by the President of the University based on recommendations of the Executive Vice President and Provost; all candidates notified of the results of the reviews.
June 14, 2019	For all faculty not having a promotion or tenure review in ***2018-19***, annual personnel evaluations completed and faculty informed of results of these evaluations, in writing.
June 14, 2019	All reports required in AC-23 and the Administrative Guidelines submitted.
June 30, 2019	All final decisions **must** be entered into ***WorkLion by the Human Resources Strategic Partner in the academic unit***.

APPENDIX C

SAMPLE LETTERS TO EXTERNAL EVALUATORS

SAMPLE 1:

Dear _____:

Prior to recommending promotion and the granting of tenure, our college seeks the opinions of recognized scholars in the candidate's field outside our institution. Dr. _____ is being considered for promotion to the rank of _____ and for permanent academic tenure, and I would like to ask for your confidential assessment regarding the appropriateness of these actions.

Enclosed you will find a summary of Dr. _____'s professional qualifications, along with copies of publications selected by the candidate. Also enclosed is an excerpt from our college's "Statement of Expectations and Procedures for Promotion and Tenure." We would find it most helpful to receive your reactions to the following:

1. In what capacity, if any, do you know Dr. _____? If you have had interactions with him/her, please briefly describe the context of these interactions.

2. Do the quality and quantity of Dr. _____'s published work justify the personnel actions being considered by our Department of _____? Would you recommend him/her for promotion and tenure in your own department?

3. What is Dr. _____'s ranking in his/her area of specialization? (It would be especially helpful if you were to identify some of the best individuals in Dr. ____'s field and compare Dr. _____'s reputation with theirs.)

4. How significant an impact has Dr. _____ made upon his/her field of specialization? Can you identify any genuinely major contributions Dr. _____ has made to _____?

5. If tenure is granted to Dr. _____ and he/she remains on our faculty for the duration of his/her professional career, is it likely that his/her presence will significantly elevate the quality and reputation of our department or will his/her presence be more likely to maintain the department at its present level of excellence?

While activities such as teaching, advising, university and public service also enter into the valuation of candidates, we do not assume that you will have had the opportunity to judge these, and we therefore seek your comments only on research competence and reputation.

The time period for achieving tenure and promotion to associate professor can vary, including one or more extensions of the tenure clock. A faculty member who stops the tenure clock must be evaluated according to the number of years on the tenure clock, not the number of years since being hired. Dr. _____ should not be held to a standard higher than the one he/she would have had to meet if the tenure decision had been made in the year it was originally scheduled.

It is Penn State policy to keep your letter confidential and to share it only with the committees (departmental, college, and university) and administrators (normally the department head, dean, provost, and president) responsible for making recommendations on promotion and tenure.

While I fully realize the burden of time and effort my request imposes, a response by _____ would be deeply appreciated (although we will also welcome a later response). My e-mail address is _____ and office fax number is _____, and you may use either method of transmittal for your response with assurance of confidentiality. I will be grateful to have your opinions in this important matter, and would like to thank you in advance for your help.

Sincerely,

SAMPLE 2: (University College example)

Dear _____:

Dr. _____, [rank and title], will be considered for tenure and/or promotion to _____ at The Pennsylvania State University during the ____ academic year. Prior to recommending promotion and/or tenure, our college seeks the opinions of recognized scholars in the candidate's field outside our institution and I am requesting your confidential letter of assessment based on the research and scholarship of the candidate.

Dr. _____ is located at the _____ campus, which is one of 14 campuses in the University College. This campus focuses heavily on lower-division undergraduate teaching with selected associate degrees; however, we also offer several baccalaureate degree programs. Please see our website for additional information about the campus at http://_____.

The largest demand on faculty time is teaching, with a typical load of three classes each semester. We also expect the faculty to be engaged in research and other scholarly activities, and to serve the campus and community in various ways. Activities such as student advising; campus, college, and university service; and public and community service enter into the evaluation of candidates. However, we do not expect you to judge these other activities. We seek your comments only on research and scholarly competence and reputation.

Enclosed you will find Dr. _____'s vita, along with copies of publications to help you with this review. Also enclosed is an excerpt from the "Statement of Expectations and Criteria for Promotion and Tenure" in the University College.

We will find it most helpful to receive your responses to the following questions.

1. In what capacity, if any, do you know Dr. _____? If you have had interactions with him/her, please briefly describe the context of these interactions.

2. Do the quality and quantity of Dr. _____'s published works and scholarly contributions justify the personnel actions being considered by our college?

3. How significant an impact has Dr. _____ made upon his/her fields of specialization? Can you identify any major contributions Dr. _____ has made to the field of _____ and compare his/her work to that of other scholars in the field?

4. What other insights can you provide on the quality of Dr. _____'s research and scholarship?

The time period for achieving tenure and promotion to associate professor can vary, including one or more extensions of the tenure clock. A faculty member who stops the tenure clock must be evaluated according to the number of years on the tenure clock, not the number of years since being hired. Dr. _____ should not be held to a standard higher than the one he/she would have had to meet if the tenure decision had been made in the year it was originally scheduled.

While I fully realize the burden of time and effort my request imposes, a response by _____ would be deeply appreciated. Your response will be treated in a confidential manner, subject to the procedures governing promotion and tenure review at this institution.

Please enclose with your letter of evaluation a copy of your latest vita, a short biographical statement summarizing your major professional accomplishments, or both. This statement also should include your faculty rank, college or university, and discipline. This will assist us in writing a brief description of the professional accomplishments of the people who write external letters for candidates.

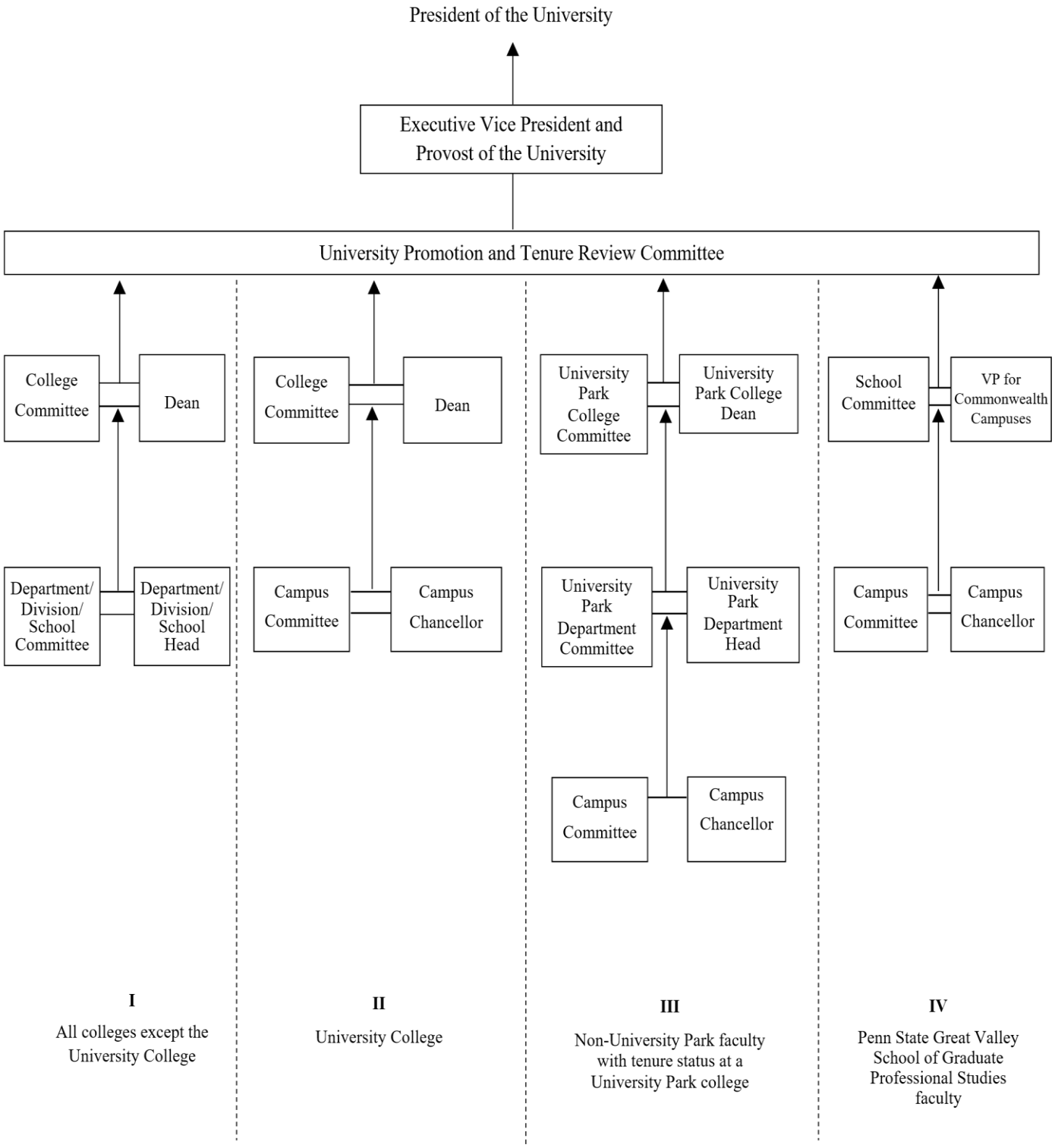
My office fax number is _____. You may use this method of transmittal for your response with assurances of confidentiality.

Thank you in advance for your help with this important activity.

Sincerely,

APPENDIX D

LEVELS OF REVIEW FOR PROMOTION AND TENURE



APPENDIX E

SAMPLE CANDIDATE SIGNATURE STATEMENT

A variety of candidate signature pages have been used in the past. After consultation with the University Faculty Senate officers in February 1989, the following wording has been recommended for use on the signature page and is to be used for provisional reviews as well as promotion and final tenure reviews:

> I have reviewed the contents of my dossier, with the exception of confidential materials, as defined in the AC-23 Guidelines.
>
> _____ _____
>
> Candidate Signature Date

APPENDIX F

DOSSIER DIVIDERS AND FORMS

The promotion and tenure forms are available only in GURU's General Forms Usage Guide at http://guru.psu.edu/forms/4-21PromotionandTenureForms.html which allow the user to download the forms electronically.

- ***Promotion and Tenure Form (07-01-18)***
- ***Biographical Data for Promotion/Tenure Review (07-01-18)***
- Budget Assignment (07-01-16)
- The Scholarship of Librarianship (07-01-13)
- ***The Scholarship of Teaching and Learning (07-01-18***)
- ***Patient Care and the Scholarship of Patient Care (07-01-18)***
- ***The Scholarship of Research and Creative Accomplishments (07-01-18)***
- ***Service and the Scholarship of Service to the University, Society, and the Profession (07-01-18)***
- External Letters of Assessment (For Promotion and Final Tenure Reviews) (07-01-14)
- Log of External Letters (7-1-16)
- Statements of Evaluation of the Candidate by Review Committees and Administrators (07-01-14)

PennState

PROMOTION AND TENURE FORM

Purpose: This recommendation form is used for (1) awarding tenure to the ranks of professor, librarian, associate professor, associate librarian, and assistant professor; and (2) for promotion to the ranks of professor, librarian, senior scientist, associate professor, associate librarian, and senior research associate.

Instructions: See the Promotion and Tenure instruction page on GURU for details: http://guru.psu.edu/forms/promotion-and-tenure-forms.html

Date _____

Name	PSU-ID	Promotion ☐ Early Tenure ☐ ____ Year Tenure ☐
Current Exact Rank and Title	College	Department

Campus	Rank and Date of Initial Appointment to the University
Graduate Faculty Status ☐ Member ☐ Nonmember	Rank and Date of Appointment to Tenure-Eligible Position
	Years of Credit Granted Toward Tenure at Appointment to Tenure-Eligible Position
	Rank and Date of Previous Promotions
	Date(s) of Stay(s) of Provisional Tenure

Proposed Rank and Title (For Promotion Only)	Date Tenured

Unit	(Check One) Recommended	Not Recommended	Signature	Date
Campus (If Applicable)	☐	☐	Chair - Campus Review Committee	
	☐	☐	Campus Chancellor	
Department (If Applicable)	☐	☐	Chair - Department Review Committee	
	☐	☐	Department Head	
College	☐	☐	Chair - College Review Committee	
	☐	☐	Dean or Campus Chancellor	
	☐	☐	Vice President for Research	
University	☐	☐	Chair - University Promotion and Tenure Review Committee	
	☐	☐	Executive Vice President and Provost of the University	
	Approved ☐	Disapproved ☐	President of the University	

(07-01-18) promotion-and-tenure-form

PennState

PROMOTION AND TENURE
BIOGRAPHICAL DATA FOR PROMOTION/TENURE REVIEW

I.

Last Name	First Name and Initial	Exact Rank and Title of Position
College	Department/Division/School	Location of Residence

II. ACADEMIC TRAINING

	Name and City/State of Institution	Major Subjects	Minor Subjects	Degrees - Dates
Under-graduate				
Under-graduate				
Graduate School				
Other				

Professional Status - Law, CPA, Other Degrees or Licenses Held	Honorary Degree(s) - Institution

III. ACADEMIC, GOVERNMENT, MILITARY, AND PROFESSIONAL POSITIONS

Previous Employers With City/State Including U.S. Military (Most Recent First)	Work Performed: If Teacher, List Subjects Taught	Rank or Title	Dates (From - To)

IV. PREVIOUS SABBATICALS AT THE PENNSYLVANIA STATE UNIVERSITY

Activity or Project	Results: Publications, Reports, etc.	Dates

PennState

PROMOTION AND TENURE
BUDGET ASSIGNMENT

Name _____ PSU-ID # _____ Salary Plan _____

PERCENT OF ALLOTTED SUPPORT BY BUDGET CATEGORY

Budget Series Category	Summer Session Year	Fall Semester Year	Spring Semester Year	Summer Session Year	Fall Semester Year	Spring Semester Year	Summer Session Year	Fall Semester Year	Spring Semester Year
1) 200 Instruction									
2) 300 *Organized Activities (instruction)									
3) 400 Research									
4) 500 Public Service and Education									
5) Other Work (Identify)									

*** 300 Series examples are field trips and farm-related work in the College of Agricultural Sciences.**

(07-01-16)

THE SCHOLARSHIP OF LIBRARIANSHIP

This section contains:

- Statement of core responsibilities
- A description of accomplishments which illustrate unique contributions and abilities in librarianship, emphasizing their nature and significance
- Letters of peer evaluation

(07-01-18)

THE SCHOLARSHIP OF TEACHING AND LEARNING

This section contains the following in reverse chronological order with the most recent date listed first:

- List of credit courses taught at Penn State for each semester with enrollments in each course
- List of non-credit courses and workshops taught in support of outreach-based instruction
- Concise compilation of results of student evaluation from multiple sources, documented evaluation of candidate's programs, activities, and skills in relating to clientele
- List of advising responsibilities
- Other evidence of resident and/or outreach-based teaching and advising effectiveness (e.g., performance of students in subsequent courses; tangible results and benefits derived by clientele; recipient of teaching ***and advising*** awards)
- Supervision of, and membership on, graduate and undergraduate dissertations, theses, projects, monographs, performances, productions, and exhibitions required for degrees; types of degrees and years granted
- Faculty input concerning the evaluation of teaching effectiveness, including any statements from colleagues who have visited the candidate's classroom and evaluated his or her teaching, or who are in good position to evaluate outreach-based instruction or advising
    - Peer review shall consider a range of teaching activities including, but not limited to, the development of materials such as case studies and class assignments, course or teaching portfolios, advising, research collaboration, and graduate student mentoring. Internal letters about teaching effectiveness should be included in this section
- Any statements from administrators which attest to the candidate's teaching and advising effectiveness
- If student comments from such sources as student evaluations, formal interviews, or exit surveys are reviewed, the findings should be presented by a summary statement that conveys the students' sense of strengths and weaknesses

(07-01-18)

PATIENT CARE AND THE SCHOLARSHIP OF PATIENT CARE

This section contains:

- Summary of the candidate's clinical assignments at the Penn State Hershey Medical Center, Regional Campus, or affiliated sites, including effort commitments and number and complexity of cases for the period under review (since last promotion or past 5 years, whichever is shorter). Candidates should ensure that the Narrative Statement at the beginning of the dossier describes their clinical expertise and area of focus.

- Documentation of the quality of care provided for the period under review (e.g., summaries of patient satisfaction scores and/or anonymous patient comments; evidence of patient outcomes)

- Documentation of candidate's participation in quality improvement efforts or other activities to improve the quality of patient care at the divisional, departmental, or institutional levels

- Documentation of any awards or other recognition for excellence in patient care (e.g., from professional societies; patient advocacy groups; government agencies)

- Letters solicited from internal colleagues (who are senior to the candidate) and/or from referring physicians (if appropriate) providing comment on the candidate's clinical expertise and effectiveness of patient care

  NOTE: Letters from individuals internal to Penn State are solicited by the Department Chair; letters from individuals outside Penn State are solicited by the Office of Faculty Affairs on behalf of the Dean.

(07-01-18)

THE SCHOLARSHIP OF RESEARCH AND CREATIVE ACCOMPLISHMENTS

This section contains the following, listed in standard bibliographic form with the most recent date first. (Do not include material contained in other sections of the dossier.)

- Research and/or scholarly publications

  Citations should include beginning and ending page numbers or total number of pages, where appropriate; for multiple-authored works, the contribution of the candidate should be clearly indicated (e.g., co-author, supervised person who authored the work, etc. and percent of contribution). Electronic journals should be listed in appropriate categories with documentation as outlined in the Administrative Guidelines, III.C.7.

  Publications should be listed as follows:

  1. Articles published in refereed journals (include only articles in refereed journals in this section)
  2. Books
  3. Parts of books
  4. Book reviews
  5. Refereed conference proceedings
  6. Articles published in nonrefereed journals
  7. Articles in in-house publications
  8. Research reports to sponsor
  9. Manuscripts accepted for publication (substantiated by letter of acceptance) - Indicate if peer reviewed and number of pages of manuscript
  10. Manuscripts submitted for publication, with an indication of where submitted and when - Indicate if peer reviewed and number of pages of manuscript
  11. Manuscripts in progress (Second-, third-, fourth-, and fifth-year reviews only. For the College of Medicine this also includes sixth-, seventh-, and eighth-year reviews.)
  12. Cooperative extension bulletins and circulars

- Creative accomplishments

  Exhibition, installation, production, or publication of original works of architecture, dance, design, electronic media, film, journalism, landscape architecture, literature, music, theatre, and visual art

  Performance of original dance, literary, musical, visual arts, or theatrical works or works from traditional and contemporary repertories of the performing arts

- Papers, presentations, seminars and workshops

  Papers presented at technical and professional meetings (meeting and paper titles); indication about whether the candidate was the presenter

  Record of participation in, and description of, seminars and workshops (short description of activity, with titles, dates, sponsor, etc.); indication of role in seminar or workshop, e.g., student, invited participant, etc.

- Description of outreach or other activities in which there was significant use of candidate's expertise (consulting, journal editor, reviewer for refereed journals or presses, peer reviewer of grants, speaking engagements, services to government agencies, professional and industrial associations, educational institutions, etc.)

(07-01-18)

THE SCHOLARSHIP OF RESEARCH AND
CREATIVE ACCOMPLISHMENTS
(continued)

- Projects, grants, commissions, and contracts (date, title, where submitted, amount**,** percent credit):

    1. Awarded (Fully processed financial award)
    2. Pending (Submitted proposal that is awaiting funding status from sponsor)
    3. Not funded (Notification received from sponsor or principal investigator that proposal was not funded [Second-, third-, fourth-, and fifth-year reviews only. For the College of Medicine this also includes sixth-, seventh-, and eighth-year reviews.])

- List of grants and contracts for improvement of instruction, with an indication of the candidate's role and percent credit in preparing and administering the grants and contracts

- Other evidence of research or creative accomplishments as appropriate (patents, new product development, new art forms, citation index analysis, etc.) including impact in society of research scholarship and creative accomplishments

- Record of pursuit of advanced degrees and/or further academic studies

- Record of membership in professional and learned societies

- Description of new courses and/or programs developed, including service learning and outreach courses

- Description of new computer software programs developed

- Description of new methods of teaching established courses and/or programs

- List of honors or awards for scholarship, ***research, or creative activities***

- Applications of research scholarship in the field including new applications developed and tested; new or enhanced systems and procedures demonstrated or evaluated for government agencies, professional and industrial associations, educational institutions, etc.

- Technology transferred or adapted in the field

- Technical assistance provided

- If there are unit-specific objective criteria used for assessing the scholarly substance and quality of the candidate's achievement in research and creative accomplishment, list the candidate's performance as measured by these criteria.

(07-01-18)

SERVICE AND THE SCHOLARSHIP OF SERVICE TO
THE UNIVERSITY, SOCIETY, AND THE PROFESSION

This section contains the following in reverse chronological order with the most recent date listed first:

- Service to the University

  1. *Record of administrative assignments at the department, division, school, campus, college, and University levels*

  2. Record of committee work at the department, *division, school,* campus, college, and University levels

  3. Participation in campus and/or University-wide governance bodies and related activities

  4. Record of administrative support work (college representative, faculty mentoring, assessment activities, etc.)

  5. Record of contributions to the University's programs to enhance equal opportunity and cultural diversity

  5. Assistance to student organizations

  6. Participation in recruitment and retention activities

  8. Participation in development/fundraising activities

  9. Other

- Service to society as a representative of the University (limit the list to those activities that use the candidate's professional expertise)

  1. Participation in community affairs

  2. Service to governmental agencies at the international, Federal, state, or local levels

  3. Service to business and industry

  4. Service to public and private organizations

  5. Service to citizen/client groups

  6. Testifying as an expert witness

  7. Other (e.g., participation in task forces, authorities, meetings, etc. of public, nonprofit, or private organizations)

- Service to the disciplines and to the profession

  1. Organizing conferences, service on conference committees

  2. Active participation in professional and learned societies (e.g., offices held, committee work, and other responsibilities)

  3. Other

- ***List of honors or awards for leadership and/or service to the University, community, or the profession.***

(07-01-18)

EXTERNAL LETTERS OF ASSESSMENT
(FOR PROMOTION AND FINAL TENURE REVIEWS)

This section contains:

- Description of how the letters of assessment were solicited, including a sample letter or request, and a description of the procedure for selecting external evaluators. Note: When letters are solicited, the request should be for letters of assessment rather than "recommendations" or "endorsements," and evaluators should be encouraged to concentrate on those aspects of the candidate's record which are most important to the external visibility and professional standing of the candidate.

- List of materials sent to external evaluators (e.g., copies of publications, vita, narrative statement, etc.)

- Identification of those who have written assessments, including a brief statement of the referee's achievements and standing in his/her discipline.

- A log showing the date on which each external letter was requested by the department/dean, and the date the letter was received. All requests should be entered regardless of whether a response was obtained.

(07-01-14)

PennState

PROMOTION AND TENURE
LOG OF EXTERNAL LETTERS

Candidate: Name _____ Title _____

Candidate For: ☐ Tenure Promotion To: ☐ Associate Professor or ☐ Professor

Name and Title of Writer	Writer's Employer	Date Letter Requested	Date Letter Received	Date of Entry Into Dossier

(07-01-16)

STATEMENTS OF EVALUATION OF THE CANDIDATE BY REVIEW COMMITTEES AND ADMINISTRATORS

This section contains:

* Evaluative statements assessing the candidate's strengths and weaknesses with respect to University and local criteria shall be provided at campus, department, college, and University levels. Each of these evaluative statements is inserted in the candidate's dossier at each step in the review process in the following order:

1. For tenure cases, all previous tenure review evaluations, presented in chronological order, beginning with the earliest probationary reviews
2. Campus review committee (if appropriate)
3. Campus chancellor (if appropriate)
4. Secondary department head (if appropriate)

**5. Department review committee (if appropriate)

6. Department head, or other appropriate unit head; e.g., division head or school director (if appropriate)
7. College review committee (if appropriate)
8. College dean or campus chancellor
9. University Promotion and Tenure Review Committee (if appropriate)

The author(s) of the comments and recommendations at each of the above levels of review shall indicate the relative emphasis given to each of the University and local criteria/expectations in the evaluation of each candidate for promotion and tenure. When a candidate has not received a unanimous committee vote, the evaluation shall include a discussion of the reasons for the divergent opinions.

All committee reports should list the entire membership, be signed and dated by at least the Chair.

The numerical vote of each committee should be reported.

* Evaluative statements are required for tenure cases only. Post-tenure dossiers do not require prior evaluative statements.

** An individual's performance in an intercollege research program should be evaluated in writing by the program director or by appropriate faculty member(s).

(07-01-14)

APPENDIX G

GUIDELINES FOR STAYING OF THE PROVISIONAL TENURE PERIOD

1. A faculty member desiring a temporary staying of the provisional tenure period must submit such a request in writing through:

   a. the department head and the dean; and,

   b. to the Executive Vice President and Provost.

   Although the final decision on the granting of this request shall rest with the Executive Vice President and Provost, he/she shall confer with appropriate academic administrators and with the faculty member as needed. Further, the Executive Vice President and Provost may impanel a special faculty review board to advise him/her on the merits of individual requests.

2. Whenever possible, the request should be submitted prior to the start of the tenure year in question. If a request is submitted after the start of the tenure process, it may not be approved for that year but could be considered for the following year in the tenure cycle. Requests will be reviewed in a timely manner; individuals presenting requests will be notified of approval or denial as quickly as possible.

3. The intent of this temporary staying of the provisional period is to ensure equity in the tenure system. If extenuating circumstances prevent a faculty member from having an equal opportunity to have his/her academic record upheld during the tenure review, he/she should qualify for this exception. Therefore, the primary purpose of the policy is to create an equal opportunity for all provisional faculty. It is not intended to improve his/her teaching record or scholarly productivity in the absence of extenuating circumstances and should not be invoked for the usual vicissitudes of a faculty member's life.

4. Faculty are eligible to stop the tenure clock for one year for each occurrence during the period leading up to tenure, for a maximum total of two years. A stay should not penalize or adversely affect the faculty member in the tenure review. (See VI, page 25)

5. In order to evaluate the request, additional documentation, such as medical information, may be required.

6. This provision is not necessarily linked to a leave of absence with or without salary. However, in the event that a faculty member is considered to be employed between half-time and full-time and/or is receiving commensurate pay and benefits, this stopping out provision may be applied. This provision is not the basis for determining if a faculty member should be employed full-time or should receive full pay and benefits. Those decisions are made separately prior to the request to stay the tenure provisional period. Such decisions shall be made in accordance with appropriate University policies. (See Appendix L.)

APPENDIX H

GUIDELINES FOR RECOMMENDING FACULTY FOR EARLY TENURE

The normal provisional tenure period is seven years, or ten years at the College of Medicine with the decision being made as a part of the sixth-year, or the ninth-year at the College of Medicine, review. In order to consider individuals for tenure prior to this period, an extremely strong case must be presented. The number of years and achievements beyond the completion of the doctoral degree (or the highest professional degree in the discipline) are key factors in early tenure considerations. In some instances, there may be unusual or extenuating circumstances that may merit consideration of early tenure. If this is the case, the following procedures should be followed:

1. The dean should submit a request and justification in writing to the Vice Provost for Faculty Affairs complete with the accompanying documentation, to consider a faculty member for early tenure.

2. Accompanying documentation should include the most current vita of the candidate and significant accomplishments achieved by the candidate that would support an early tenure review. A statement of support from the department head should be included.

3. The Vice Provost for Faculty Affairs will review each request on a case-by-case basis, and consult with the Executive Vice President and Provost. If the decision is to support the request to consider early tenure, the dean will be advised to prepare the case for an early tenure review, without any guarantee that the candidate will receive tenure through an early review. If the decision is not to support the request, the dean will be so advised with reasons for the evaluation.

4. If a candidate is successful in receiving tenure through an early review process, he or she will be notified of the award of tenure at the time that all promotion and tenure decisions are released at the University level. If a candidate is not successful in receiving tenure through an early review process, he or she is not penalized in any way or disadvantaged from the normal tenure review sequence at a later time.

APPENDIX I

GUIDELINES FOR IMMEDIATE TENURE REVIEWS

Applicability

Immediate tenure reviews are appropriate for persons being considered for faculty or academic administrative positions at the University. The immediate tenure process is not appropriate for faculty members or academic administrators already under contract. ***The immediate tenure process should begin prior to the candidate's start date.***

Requests for out-of-sequence promotion and tenure reviews will not be handled by the immediate tenure review process. (See Appendix J.)

College and Department Review Committees

To the extent possible, it is expected that the same college and department review committees that were appointed at the beginning of the review process will be reconvened to make recommendations in cases of immediate tenure. ***Given that the committee's charge is to determine whether the candidate's record merits the awarding of tenure, the committee may be composed of tenured faculty members of any rank.***

University Review Committee

An Immediate Tenure Review Committee will be appointed annually consisting of former members of the University Promotion and Tenure Review Committee, divided into separate subcommittees. These individuals have considerable experience in promotion and tenure review procedures. A member of each subcommittee serves as chair and works closely with the Office of the Executive Vice President and Provost in coordinating immediate tenure reviews.

The chair of the Immediate Tenure Review Subcommittee will submit a recommendation to the Office of the Executive Vice President and Provost at which time a final decision will be made. The dean will be informed of the final decision by written confirmation.

Process and Documentation

In general, reviews for immediate tenure parallel closely the policies and procedures of AC-23 (formerly HR-23) but are not identical to them. For example, while the candidate's achievements or potential in all three cells—teaching, research and scholarship, and service—should be addressed by all levels of review, they need not be presented in formal dossiers with dividers, nor should the promotion and tenure signature page from our formal promotion and tenure dossier be used.

Adequate documentation must be included so that the Immediate Tenure Review Committee can make an informed judgment about tenure. Particularly when prospective faculty members are

being considered, every effort should be made to obtain documentation about teaching effectiveness, such as a summary of student and peer evaluations In cases where information about teaching effectiveness may not be available, a review of speaking engagements and guest lectureships or letters from the candidate's peers that address teaching effectiveness may provide insight. Follow-up telephone calls are encouraged and appropriate to further document teaching effectiveness. A scanned PDF copy of the following documentation must be submitted in the order below for a candidate who is being reviewed for immediate tenure. It is helpful to have materials to be organized by using bookmarks in the pdf file.

1. ***Title page: Including name and college***

2. ***Copies of the college and department criteria statements.***

3. ***Curriculum vitae: Include the most current vita of the candidate.***

4. ***Scholarship of Teaching: documentation of teaching effectiveness, such as a summary of student and peer evaluation. If such information is not available please provide other documentation of the candidate's teaching effectiveness, such as a review of speaking engagements and guest lectureships, letters from the candidate's peers that address teaching effectiveness, or summary of follow-up phone calls made to further document teaching effectiveness.***

5. ***External letters: Dossiers shall include a minimum of four external letters. Letters of reference that were used in the search process are acceptable; the majority should address the candidate's qualifications for tenure. External letters should be written by letter writers who are external to Penn State.***

6. ***Statements of evaluation and recommendations on department/college letterhead from:***

    a. ***The department promotion and tenure review committee***

    b. ***The department head.***

    c. ***The college, campus review committee, Dickinson Law, Penn State Law, or the University Libraries review committee***

    d. ***Dean of the College or Chancellor. For immediate tenure reviews at Great Valley and the University College, the campus chancellor and the Vice President for Commonwealth Campuses.***

In making evaluations and recommendations, peer review committees and administrators should not feel compelled to make judgments about areas for which they have insufficient data.

<u>Time Frame for Reviews</u>

In most cases, University-level review of candidates for immediate tenure are completed

in two weeks once the case has been assigned to a university review committee, depending on the sub-committee members' availability. To expedite the review at the University level, it is helpful for the Vice Provost for Faculty Affairs to be alerted to a forthcoming case and to ensure that the dossiers are complete and organized in the order outlined above. Lack of required documentation may delay the process.

APPENDIX J

GUIDELINES FOR OUT-OF-SEQUENCE PROMOTION AND TENURE REVIEWS

Requests and Applicability

A request for an out-of-sequence review must be made to the Executive Vice President and Provost for demonstrable reason concerning why the review had not or could not be done according the regular timetable. If approved, a formal letter from the dean indicating the reason for the out-of-sequence request must accompany the dossier.

Procedure

Requests for out-of-sequence promotion and tenure reviews will not be handled by the immediate tenure review process, but rather will be reviewed by the regular University Promotion and Tenure Review Committee as quickly as it can be convened.

College and Department Promotion and Tenure Review Committees

To the extent possible, it is expected that the same college and department review committees that were appointed at the beginning of the review process will be convened to make recommendations in cases of out-of-sequence reviews.

University Promotion and Tenure Review Committee

The University Promotion and Tenure Review Committee will be convened as soon as possible upon receipt of the dossier from the college. That Committee will follow their standard procedures in conducting a review of the out-of-sequence case and will forward the case with their recommendation to the Office of the Executive Vice President and Provost.

Review by the Executive Vice President and Provost and the President of the University

The Executive Vice President and Provost and the President of the University will conduct their review of the out-of-sequence case keeping with their standard procedures. The candidate will receive a letter from the President of the University awarding the new rank in the event of a promotion review, and awarding tenure for a positive tenure review. In the event of a negative tenure review, the candidate will also receive a letter from the President of the University. In all cases, letters are sent to the candidate via the college dean.

Documentation

In order to consider an out-of-sequence review, the dossier must be accompanied by a letter from the dean indicating the reason for the out-of-sequence review. If the case involves an early tenure review, those guidelines (Appendix H) must also be followed which states that the Office of the Executive Vice President and Provost must have an opportunity to review the candidate's vita prior to the dean initiating the review.

A standard dossier must be presented, with all three cells addressed, and must include external letters. An original of the dossier must be provided and sent to the Office of the Executive Vice President and Provost via the Office of Human Resources.

Implementation Date for New Rank or Tenure

As is the case for promotion and tenure decisions made in the regular sequence, new rank or tenure would be implemented at the start of the next academic year following the decision.

APPENDIX K

SAMPLE LETTER INFORMING OF TERMINATION

Dear Dr. _____:

In accordance with procedures set forth for review in The Pennsylvania State University's Policy AC-23, I regret to inform you of the decision that promotion and tenure will not be granted. Your employment as a member of the University faculty will terminate June 30, _____, and we will expect you to carry out the full responsibilities of your faculty position through the completion of your appointment.

Sincerely,

Dean or Chancellor

APPENDIX L

PERTINENT UNIVERSITY POLICIES AND GUIDELINES

Academic and Human Resources policies and guidelines are located at http://guru.psu.edu/policies.

Pertinent Academic and Human Resources Policies

- HR-11 Affirmative Action in Employment at The Pennsylvania State University
- HR-16 Leave of Absence without Salary (Other Than for Active Military Service or Training)
- AC-18 Graduate Study Leave of Absence
- HR-19 Leave of Absence for Active Military Service or Training
- AC-23 Promotion and Tenure Procedures and Regulations
- AC-40 Evaluation of Faculty Performance
- HR-60 Access to Personnel Files
- AC-61 Faculty Contracts
- AC-76 Faculty Rights and Responsibilities

Pertinent Human Resources Guidelines

- HRG-11 Family and Medical Leave
- HRG-18 Paid Parental Leave for Faculty

Note: The Administrative Guidelines are located at http://www.psu.edu/vpaa. All of the policies and guidelines listed above are linked at this site.

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