

University of Pennsylvania

School of Social Policy & Practice
(SP2)



FACULTY PERSONNEL POLICIES & PROCEDURES

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Foreword

“Faculty members are not employees in the usual sense”. This statement from the University of Pennsylvania's *Handbook for Faculty and Academic Administrators* sums up the complex relationship of members of the faculty to the institution. Members of the faculty enjoy an independence associated with their work that goes back to the medieval European universities and the invention of the modern University in Germany and the United States during the 19th century. The core of this independence is the relationship of academic freedom (“the freedom to teach and the freedom to learn”) to the tenure system. As the Handbook notes:

The statutes of the University hold that a system of tenure for faculty members is the preeminent means of fostering and protecting academic freedom of the faculty in teaching and in scholarly inquiry (*Handbook for Faculty and Academic Administrators*, Revised 2009, Section II.A).

A central aspect of the status of faculty members is their central role in decision making within the Schools of the University. Although the Trustees and the President hold legal responsibility for the actions of the institutions, the source of legitimacy in decision-making rests with the faculty. This manual focuses on the policies and procedures used by the Faculty of the School of Social Policy & Practice in discharging this responsibility.

The faculty has its own governance structures; it makes decisions about its membership; it shapes the core enterprises of the School. These are the issues addressed in this manual.

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SP2 FACULTY
PERSONNEL POLICIES & PROCEDURES

Revised March 2011

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PART I.

SCHOOL GOVERNANCE

The School of Social Policy & Practice (SP2) faculty assumes responsibility for the School's governance. It has governance groups for each of its three master's programs (MSW, MSSP, and NPL) and its two doctoral programs (the Ph.D. Graduate Group and DSW Governance group); it also has two major School committees: personnel, and student policies and procedures.

Members of the faculty, in all their University-based actions, are accountable to the **Dean**, who at the University level answers to the **Provost**, the **President** and the **Trustees**. The Dean delegates a large portion of these responsibilities to the **Associate Deans** and the **Director of Fiscal Operations**.

As with all academic institutions the **School of Social Policy and Practice** has a dual authority structure (administrative and academic), which are co-equal in their importance and legitimacy. These dual authority structures (responsibilities and accountabilities) converge in the role of the **Dean**, whose duty it is to ensure that these functions cohere so that the School operates as an integrated whole.

Virtually all members of the faculty, in order to fulfill critical aspects of their academic and professional lives, have significant relationships and responsibilities with other Schools at the University (joint appointments, teaching assignments, research grants etc.). It is incumbent on the faculty member, in concert with the appropriate member of the Senior Management Group (see their functions below) in whose domain these linkages exist, to manage their inter-School relationships in a way that enhances the collective well-being of the **School of Social Policy and Practice (SP2)**.

A. Guiding Principles

The School's governance structures are guided by the following core principles:

- The devolution of decision making, to the fullest extent possible, from the Standing- Faculty-as-a-whole to Governance Groups, on all matters that rightfully belong to that Governance Group's domain;
- The Standing Faculty makes the decisions that are of a cross-Governance Group nature (e.g., personnel, student policies and procedures, joint programming, and so on);
- The directors of all academic programs are members of the standing or adjunct Faculty, (i.e., persons who have been reviewed and voted upon by the Standing Faculty and approved by the Provost. In every case, however, the Director of the MSW program must be a member of the School's Standing Faculty);
- Governance groups are as small as possible, while also being as large as needed, to reflect the requisite areas of expertise and desired diversity, and to accommodate an occasional unpreventable absence of a member, due to illness, sabbatical etc.;
- Constant vigilance to ensure that the parallel lines of administrative and academic authority and decision making existing within the School are strong and integrated;
- Ultimately the Dean is the senior administrative and academic officer in School of Social Policy & Practice (SP2).

B. The Administrative Structure and Authority System

The administrative set of responsibilities and accountabilities are embedded in the following functions.

1. The **Associate/Assistant Dean for Academic Programs**, who is a member of the Standing Faculty, manages (1) all the administrative activities necessary to run the five graduate programs housed within the School, such as teaching assignments of faculty and part time instructors, and (2) the institutional workload of all faculty (educational responsibilities, working on School-based committees, plus the commitments faculty voluntarily enter into in service to the Penn community and the larger national and international professional communities).
2. The **Associate/Assistant Dean for Student Affairs**, who manages all student services and student affairs (1) provides oversight of registrar functions, academic advising, and new student orientations, (2) interprets and enforces student policies and procedures, (3) responds to student concerns related to educational advisors, instructors, MSW field placements, and other School-wide issues, (4) addresses issues related to student performance, academic standing and student conduct, (5) advises students with special needs and (6) grants student academic leaves and transfer credit.
3. The **Associate/Assistant Dean for Research**, who is a member of the Standing Faculty, oversees the creation, management and efficacy of the School's research infrastructure, and fosters the submissions of proposals for funded research.
4. The **Associate/Assistant Dean for Enrollment Management** is responsible for marketing our five graduate programs to local, national and international constituencies, (2) recruiting students for all programs, (3) overseeing the admissions process, and (4) managing the financial aid process.
- 5-6. The occupants of the above four positions, plus the **Associate/Assistant Dean for Development and Alumni Relations** and the **Director of Fiscal Operations** constitute the Dean's Senior Management Group. All Standing Faculty are called upon many times in the course of the year to interface with every one of the Dean's Senior Management Group. The quality of the reciprocal support offered to one another by faculty and members of the Dean's Senior Management Group, along with School of Social Policy & Practice (SP2)'s staff, determines in large part the efficacy and the work climate of the School.

C. The Academic Structure and Authority System

The faculty (1) carries the full responsibility of all aspects of the School's educational enterprises, (2) manages, in adherence with the University's Policies and Procedures, all aspects of faculty recruitment, promotion and retention and (3) decides and implements student policies and procedures. The ultimate

decision-making process is by majority vote of the Standing Faculty, which may occur in regularly held faculty meetings, by secret ballots or other appropriate processes the faculty-as-a-whole agrees upon.

These three functions are located in an array of **standing committees, governance groups, program committees, and School committees**, staffed and chaired by faculty members, with the dean and/or his/her associate dean representative serving as a non-voting ex-officio member.

School of Social Policy & Practice (SP2) offers five academic degrees each of which operates under different rules and policies, all of which have a direct impact on their governance structures. The MSW and DSW are administered according to principles determined exclusively by the Standing Faculty of the School of Social Policy & Practice (SP2). The School's **Masters of Science** degrees are governed by rules determined by the Provost's Office. Governance of the PhD program is determined by the policies associated with the University's Graduate Council for Graduate Groups and by the program's graduate group. The **Master of Science in Nonprofit/NGO Leadership** functions in concert with the policies created in interaction with its four collaborating Schools (Arts & Sciences, Education, Law, and Wharton). All of the above five degrees are awarded by the University, not the School of Social Policy & Practice (SP2).

1. Governance Groups¹: Doctoral Programs

- a. **Governance of the Ph.D.** degree program is provided by the Graduate Group, which consists of all members of the Standing Faculty of the School of Social Policy & Practice (SP2), along with members who belong to other graduate programs at the University. All key decisions concerning the PhD program -- including curriculum, admissions and student advising--are made by the PhD Graduate Group and/or the Doctoral Steering Committee, which answers to the PhD Graduate Group. The Director of the PhD program, who is a member of the School of Social Policy & Practice (SP2) Standing Faculty, serves as the chair of the graduate group for a fixed term of 3 years with a maximum of two terms. The PhD Graduate Group answers to the Vice Provost for Education of the University via the Dean of the School of Social Policy & Practice (SP2).
- b. **Governance of the Doctor of Social Work (DSW)** degree program is provided by a group consisting of the program director plus three to four members of the School of Social Policy & Practice (SP2) Standing Faculty and a member of the part-time faculty teaching in this program. This group oversees all aspects of the DSW Program

¹ The size of a given governance group may expand or contract over time on the basis of the tasks to be carried out (e.g., during a period of accreditation, faculty representation for the MSW may increase), the age of the program (more faculty representation may be needed during a program's earlier years), or other factors that may warrant adding faculty for a *limited* time period. Given the multiple demands on our small faculty, however, every effort should be made to keep the size of all governance groups to be as small as needed to carry out their responsibilities, e.g., not all service needs to be multi-year in nature but may be in the form of contributions made through task force groups and similar types of work groups with specific, time-limited, charges. It is not unusual, when accommodating sabbaticals and times when several faculty are being hired, for the School of Social Policy & Practice (SP2) to have as few as 12-14 non-administrative faculty in the School available to carry out all of the School's educational responsibilities, while maintaining vibrant research enterprises etc. Unnecessary committee assignments make difficult situations much harder and compete with the faculty's most precious resource, *time*.

such as program planning, curriculum development and oversight, admissions, recruitment, instructional staffing, and student academic advising. The DSW Governance Group answers to the Dean of the School of Social Policy & Practice (SP2) via the DSW program director.

2. General Composition of Governance Groups²: Masters Programs

a. Governance of the Master of Social Work (MSW)

Leadership for the MSW degree program is provided by a group consisting of the program director, plus four-five members of the School of Social Policy & Practice (SP2)'s Standing Faculty, a representative of the Field Cabinet and the Field Director. The MSW Governance Group answers to the Dean of the School of Social Policy & Practice (SP2).

b. Governance of the Masters of Science in Social Policy (MSSP)

Leadership for the MSSP Program is provided by a group consisting of the program director, plus three-four members of the School of Social Policy & Practice (SP2)'s Standing Faculty. The MSSP Governance Group answers to the Provost via the Dean.

c. Governance of the Masters of Science in Nonprofit/NGO Leadership (NPL)

Leadership for the NPL Program is provided by the program director, plus three-four other Standing Faculty members, representing the NPL program's partner Schools (School of Social Policy & Practice (SP2), Arts & Sciences, Education, Law, and Wharton). The NPL Governance Group answers to the provost via the Dean.

3. Inclusion of Students in Governance Functions:

Each Program Governance Group may elect to involve graduate student representatives, selected by the student body, in its governance group or any of its committees.

4. Each Masters Degree Governance Group

Each program has its own internal set of committees, which manage curricular issues, admissions standards, parameters for selection of students, student academic advising, management of students through the program, and so forth. Each governance group has its own curriculum committee, which it may construct as it sees fit so as to maximize effectiveness and efficiency, given the nature of the program and the tasks that need to be undertaken. The faculty of the School of Social Policy & Practice and the Provost's Office (in the case of the MSSP and

² See footnote #1 for a fuller discussion of the size of governance groups in the School's MS degree programs.

the NPL programs) authorize each Governance group and the Program Curriculum Committee that each group creates to manage all curricular issues for that program.

For **all administrative functions** (such as marketing, recruiting, financial matters), the three masters degree programs (**MSW, MSSP and NPL**) operate within the policies, procedures and budgetary limitations of the School of Social Policy & Practice. It is the responsibility of the Director of each Masters Program to keep the School of Social Policy & Practice (SP2) faculty-as-a-whole informed of the key activities of that program, especially those salient to the functioning of the School-as-a-whole.

To ensure a **desirable rotation of faculty** into governance groups and maintain coherence and continuity, members will have staggered terms.

5. Degree Program Directors

Each degree program is directed by an appropriate member of the School of Social Policy & Practice (SP2) standing or adjunct faculty. Or, if the Dean and the School Personnel Committee agree, an Associate Dean who is also is a member of the School Standing Faculty or an adjunct faculty can serve as the Director of one or more of the programs. If the program director is an associate/deputy dean, then the governance group and the program curriculum committee **must be chaired** by one of the faculty members of the governance group, preferably the same person.

All of the five degree programs have a full or part time Associate Director/Coordinator who answers to the program director, and is tasked with the managerial/administrative responsibilities for the program. The Associate Director/Coordinator functions as staff to the Governance Group. In addition, each program is assigned an appropriate proportion of the School's administrative support staff.

D. The SP2 Executive Committee

The Executive Committee, chaired by the Dean, is composed of (1) the chairs of the two School-wide standing committees (Personnel, Student Policies and Procedures); (2) the Directors of all degree programs; and (3) relevant Associate Deans who serve on the Committee in an ex officio capacity. If an associate dean is the director of a master's degree program, then, the chair of that program's governance group shall serve as the representative of that program on the Executive Committee. The Executive Committee acts in a parallel function with the Senior Management Group. Since the Associate Deans are ex-officio members of the Executive Committee, this Committee provides an arena in which critical connections between the two authority structures are aligned. It is the responsibility of the Executive Committee to: (1) hone the central issues the faculty and administration need to debate and make decisions on; (2) make interim decisions between faculty meetings if necessary (to be ratified or revised by the full faculty at its next meeting), and (3) help craft ways the administrative and faculty authority structures can dovetail effectively.

E. Integration of the two Authority Structures

The Dean has the responsibility of drawing into one integrated fabric the interleaving deliberations and decisions of the Senior Management Group, the Executive Committee and the faculty-as-a-whole (enacted during faculty meetings).

F School Standing Committees

The faculty of the School of Social Policy & Practice (SP2) has two standing committees, (1) Personnel, and (2) Student Policies and Procedures. Every member of the Standing Faculty is eligible to serve as a member of standing committees. All standing committee appointments are for a term of two years. Faculty may be re-elected for an additional term.

1. The Personnel Committee

The Personnel Committee has primary responsibility for faculty recruitment, development, retention, promotion, and tenure. In all these functions the personnel committee operates in accordance with the policies and procedures specified by the University and this manual, initiating whatever actions are appropriate, and when managing the requisite secret ballots, using methods that preserve the confidentiality of faculty members' votes. Results of all votes solicited by the personnel committee are forwarded in a timely manner by the chair, to the Dean for appropriate action. The Personnel Committee consists of three members, at least two of whom are tenured. Members and the chair of this committee are elected by the faculty as a whole.

2. The Committee on Student Policies and Procedures

The Committee on Student Policies and Procedures is responsible for developing, reviewing, and/or recommending policies and procedures regarding students. In addition, this committee provides oversight of the selection procedures for student awards and the excellence in teaching awards given to faculty. The committee also serves as the main faculty link with the admissions office for student recruitment. This committee consists of three members of the Standing Faculty, appointed by the Dean. The faculty as a whole elects the chair of the committee. In addition, there are two advisory student members selected by the Student Council.

The Dean and/or his/her Deputy may serve as ex-officio members of each standing committee.

3. Terms of Standing Committee Chairs:

The chair of each standing committee serves for a two year term. Committee chairs are responsible for planning meetings, coordinating the assigned responsibilities of individual faculty members and task forces, assuring the implementation of the committee's agenda, and reporting to the Dean and faculty on the committee's work. No faculty member may serve as chair of the same committee for more than two consecutive terms.

4. Additional Committees

The School has three additional committees, (1) Academic Freedom and Responsibility, (2) Student Academic Standing, and (3) Student Grievance.

a. The Committee on Academic Freedom and Responsibility,

The Committee on Academic Freedom and Responsibility is elected annually by faculty, operates according to the University's requirements. The committee represents the faculty of the School in all proceedings that involve temporary exclusion of a faculty member, suspension or termination of the appointment of a faculty member, any matters arising from financial exigency proceedings, or other questions concerning an individual faculty member's claim that his/her academic freedom has been violated. The committee is authorized to conduct investigations, file reports, and make recommendations to the appropriate body on any matter related to academic freedom and responsibility within the School that may affect one or more faculty members.

b. The Committee on Student Academic Standing,

The Committee on Academic Standing is composed of three members of the Standing Faculty, appointed by the Dean. The Committee on Academic Standing is convened to hear appeals by students who have been dismissed from any of the School's masters programs for academic or non-academic reasons. A student may appeal the decision to be dismissed from the program by sending a letter stating the specific grounds for his/her appeal to the Dean within two (2) weeks from the date of the written dismissal notice. The Dean will then convene the Committee on Academic Standing to review the circumstances. The Committee on Academic Standing will make the final decision and notify the student in writing. Copies of the decision will be sent to the student, the Dean, the Associate Dean for Student Affairs, and the student record.

c. The Student Grievance Committee,

The Student Grievance Committee consists of three members of the Standing Faculty, appointed by the Dean, and two student representatives, elected by the School student body.

- The Committee is convened when a student files a grievance against a member of the faculty or the administration of the School.

- The first responsibility of the committee is to determine if the student's complaint constitutes a grievance that falls within the committee's purview.
- If the committee determines that it does, it convenes meetings to hear the student's grievance and the response of the faculty member or administrator.
- If a request for an informal meeting prior to the first formal meeting is made by any party, the decision to grant or not to grant the request is made by the three faculty members.
- At the first formal meeting, both the student bringing the grievance and the faculty or administrator against whom the grievance has been filed may be accompanied by a second individual who serves as an informal advisor.
- Upon the conclusion of the meeting, after collection and review of necessary documents and any additional meetings for data regarding new questions, the committee files a written report to the Dean of the School who make the final decision on the soundness of the Grievance.

5. Membership of Standing Committees

- a. The Dean meets annually with all faculty members to discuss their preferences for standing committee assignments.
- b. The Dean solicits faculty interest in serving on all School committees and designated offices.
- c. The selection of members of the Personnel Committee and the Committee on Academic Freedom and Responsibility and the chair of the Personnel Committee (who is one of the tenured faculty members) are voted on by the faculty.
- d. Based on faculty preferences and the needs of the School, the Dean appoints faculty to the Student Policies and Procedures Committee. The Committee's Chair is voted on by all members of the Standing Faculty.
- e. Upon receipt of all election results, the Dean notifies the faculty and students of the composition and leadership of all standing committees.
- f. Once constituted, the initial meeting of all standing committees is convened by the respective chairs. The Dean and Executive Committee develop a charge to the committees to be received by the Chair prior to its first meeting.

6. Policy on the Replacement of Elected Members of Standing Committees

In the event that a member of the Personnel Committee, including the chair, is unavailable for an extended period of time, the faculty as a whole selects a replacement member on an interim or permanent basis. If the position of chair is vacant, the faculty as a whole votes on a new chair once the members of the reconstituted committee are selected.

If the chair of a standing committee other than Personnel is unavailable for an extended period of time, the Dean appoints a replacement and the faculty as a whole selects a new chair from among the reconstituted committee members.

PART II.

FACULTY APPOINTMENTS AND REVIEW:

Policies and Procedure Regarding Appointment, Reappointment, Promotion and Tenure

A. Recruitment and Hiring Procedures

The School follows the following steps in the hiring of full-time faculty.* Candidates may be appointed to the rank of Assistant Professor, Associate Professor (without tenure) Associate Professor (with tenure) or Professor (with tenure). For all ranks the standards outlined in the section titled “Faculty Review” pertain.

	Action	Responsible Agent
1.	Identify Faculty Needs	Faculty
2.	Define Position	Personnel Committee
3.	Advertise	Personnel Committee
4.	Solicit Applications	Personnel Committee and Faculty
5.	Receive Applications	Dean’s Office
6.	Screening of applications	Personnel Committee
7.	Selection of Interviewees	Personnel Committee (& program faculty)
8.	References – Intramural - Extramural	Personnel Committee
9.	Review of Applicant materials	Faculty & Dean
10.	Interviewing process	Faculty interviews and candidate’s oral presentation of his/her research
11.	Review and evaluation re position	Full Faculty Meeting
12.	Faculty Vote	Faculty
13.	Advice letter to Dean of vote	Chair, Personnel Committee
14.	Recommendation for appointment	Dean
15.	Affirmative Action Documentation	Affirmative Action Officer

- | | | |
|-----|--------------------------|------|
| 16. | Offer of appointment | Dean |
| 17. | Provost Staff Conference | Dean |

*Exception when a window of opportunity presents itself

B. Faculty Review

The following policies and procedures are used in conducting reviews of candidates for appointment, reappointment, promotion, and tenure in the School of Social Policy & Practice. In developing these procedures the Personnel Committee has been guided by the following principles:

1. The review process is to be open, equitable, and collegial.
2. The faculty acts as a "committee of peers," so that each faculty member has the opportunity to evaluate the candidate on merit.
3. The procedures are designed to be as precise as possible so candidates may be guided by the expectations embodied within them, and the faculty may have an objective basis on which to make their evaluation.
4. The School makes every effort to provide maximum support for career development.
5. All efforts are made to maintain standards of excellence in the School.

C. Ranks of the Standing Faculty

1. Assistant Professor

Consistent with the University's *Handbook for Faculty and Academic Administrators, Section II.B.1* appointment as an Assistant Professor on a tenure track "is accorded to a person who has completed his or her final earned degree or other professional certification relevant to his or her discipline and who has given evidence of superior potential for development in academic stature." The individual appointed at this level should show promise of high performance in teaching and scholarly productivity and quality. Appointment at this level is probationary and for a fixed term. Assistant professors are reviewed in their third year and may be renewed contingent on a favorable faculty review of his/her performance.

Reappointment reviews of Assistant Professors customarily take place in the third year of employment, to become effective, if approved, upon completion of the third year of employment. Criteria for reappointment within this rank include excellence in teaching, scholarly accomplishments and promise of continued scholarly productivity and quality, and evidence of contributions to the School, University, and community. Recommendations for non-appointment or termination are to be made known to the candidate by May 30th of the third academic year. A fourth and final year of employment is available to faculty whose contracts are not being renewed.

2. Associate Professor with tenure

Promotion or appointment to this rank, including granting of tenure, follows a thorough review by the candidate's peers, a positive vote, and the subsequent recommendation to the Dean for such promotion. It is then sent to the Provost Staff Conference for a final decision. The achievement signifies that the candidate is an outstanding scholar, has demonstrated excellence in teaching and has contributed effectively to the School, University, professional community, and the community at large.

3. Associate Professor without tenure

The above criteria and procedures apply to the appointment of an Associate Professor without tenure, with the exception of the granting of tenure.

4. Professor

Promotion or appointment to the rank of Professor occurs for the seasoned scholar who has effectively contributed to his/her field over a sustained period of time. Such persons have achieved superior national and international recognition by scholars both outside the University and by faculty colleagues. Their work is judged to be rich, truly significant, and path breaking.

5. Endowed Chairs

The School currently has two endowed professorships. As elsewhere in the University, the purpose of these professorships is two-fold: 1) to recognize exceptional scholarly activity on the part of selected members of the faculty; and 2) to permit the holders of these chairs to devote a larger portion of their workload to scholarly activities in a designated area of research.

a. The Kenneth L.M. Pray Chair in Social Policy and Practice

The "Pray Chair" in Social Policy & Practice was established in the 1960s to honor the memory of Kenneth L. M. Pray, a prominent social pioneer and a former director of the Pennsylvania School for Social Services (1922-1933) and the Pennsylvania School of Social Work (1942-1945), both predecessor organizations of the University of Pennsylvania School of Social Policy & Practice.

The purpose of the chair is to facilitate scholarly activities on the practice aspects of social policy and the social policy implications of social work practice. Candidates for the Pray Chair are distinguished members of the School's *current* faculty.

Though appointment to the Chair may occur at any level within the Standing Faculty, the expectation is that the Chair will be awarded to a tenured member of the School's faculty on the basis of exceptional contributions made to the advancement of social policy and practice. The chair is awarded to a candidate for a five year, non-renewable, term.

b. The Joanne T. and Raymond H. Welsh Chair in Child Welfare and Family Violence

The Joanne T. and Raymond H. Welsh Chair in Child Welfare and Family Violence was established in 1997 through the generosity of Joanne and Penn Trustee Raymond Welsh. This is the first fully-endowed Chair in the School of Social Policy and Practice.

The purpose of the Chair is to advance knowledge in understanding the nature and dynamics of family violence toward children. Candidates for the chair are selected on the basis of their excep-

tional scholarly contributions to advancing public understanding of child welfare and family violence.

Normally, the Chair is used to recruit a new tenured-level level faculty member of exceptional merit to the School. The Chair is held concurrent with the candidate's active appointment to the School's full-time faculty.

D. Guidelines for Decisions Concerning Contract Renewals, Promotion, and Promotions with Tenure of the Standing Faculty

See University website <http://www.upenn.edu/provost/images/uploads/2009> for specifics. Areas to be considered are scholarship, teaching and service.

1. Scholarship

This refers to a candidate's qualitative and quantitative contribution to knowledge development as represented by research and publication in scholarly academic and professional journals, books, and other publication outlets.

Productivity is evaluated according to five parameters: originality, generalizability, scope, relevance and impact upon the fields of instruction of the School of Social Policy & Practice (SP2) and other disciplines related to the School's mission. Faculty members consider the following questions in evaluating the candidate's work:

1. Does the work show depth, breadth, focus, and direction?
2. Is the work theoretically and/or methodologically rigorous?
3. Has the work opened new lines of study and inquiry for others?
4. Does the work receive national and international recognition in the works of others, or by virtue of prizes or awards as a contribution to its field? Is it cited by others in theory-building, adding knowledge, or in application in various fields of practice? Is there a quality of excellence and/or originality about the work?
5. Productivity must also be considered. Productivity should reflect a steady progression in rate and/or depth in the production of articles in refereed journals and/or positively reviewed books.

Additional publications may be submitted for the purpose of enhancing the candidate's dossier. In order of priority they include:

Articles in refereed journals
Authored/co-authored books
Edited books
Monographs and research reports
Chapters in books
Edited journals, and other outlets, including book reviews

Other but yet unpublished evidence of scholarship may also be presented for review. This includes completed research, peer reviews of work, amounts and length of funding, training grants,

unsponsored research, research proposals, theoretical and conceptual paradigms and models, papers presented at scientific meetings, and works in progress.

2. Instruction: Quality and Quantity of Teaching

Excellence in teaching is required of all members of the Standing Faculty. Excellence includes high standards of professional values and ethics; inspiring students to maximize their potential; engaging students in assimilation of new knowledge and skills; stimulating critical thinking; instilling positive attitudes about the importance of continuous learning and encouraging professional growth.

In addition to classroom activities, teaching includes the following activities: advising of masters and doctoral students; mentoring of doctoral students; supervising doctoral dissertations; curriculum development; and creation of teaching materials and methods of instruction;

The School's Excellence in Teaching Award accentuates the importance of teaching in the University and the School; the Web-based evaluation form completed by students for every course they take provides information on how the instructor was valued by her/his students.

3. Professional Contributions

Contributions to the operation of the School and to the collegiality essential to the School community are accomplished through participation in faculty governance groups and committees. The level of expected participation is set forth in the workload section of this manual. Similarly, faculty members may be active on University-wide committees and task forces, whether as Chair or as a member.

Professional contributions are made through participation in professional and academic organizations by holding office, participating in meetings, seminars, workshops, conferences and conventions. Other professional service activities may include peer reviewer for research grants (e.g., for NIMH), member of a re-accreditation site team, member of a journal editorial board, reviewer for a journal, consulting editor for a publisher, and member of national committee, task force, or commission.

Professional contributions are also expressed through community pursuits, such as serving on boards of directors of human service organizations, offering expertise and guidance through consultation, or generally contributing to the improvement of the quality of community life both locally, nationally, and internationally.

4. Potential for Continued Professional Growth and Development:

In all of the above, a focus on a candidate's potential for continued professional growth and development is important, as is evidence that she/he is an emerging or established thought leader, who can enhance the standing of the field, the School, the University and the larger community of scholars.

E. Decision Making Procedures Regarding the Reappointment and Promotion of Members of the Standing Faculty

For requirements please see University Website
<http://www.upenn.edu/provost//images/uploads/2009>.

Step 1 At the beginning of October of each academic year, or earlier if appropriate, the Dean notifies the Personnel Committee of individuals to be reviewed for contract renewals, promotions, and/or for the granting of tenure.

Step 2 The Dean and the Chair of the Personnel Committee meet with candidates to inform them they will be reviewed during the current academic year and to review procedures with them, including the criteria by which their candidacy will be evaluated.

Step 3 The Personnel Committee, thereafter, directs the entire process, taking care to complete the review by the University deadline. The Personnel Committee undertakes the following tasks:

- a. Encourage the candidates to read and familiarize themselves with those sections of the *Handbook for Faculty and Academic Administrators* that pertain to the candidate's review process.
- b. The personnel committee identifies a member of the Standing Faculty to serve as mentor throughout the review process. The mentor helps the candidate to assemble the review materials. The role of the mentor at the faculty discussion meeting is to present a summary of the candidate's performance in three areas: scholarship, teaching, service. This summary is presented without a recommendation of suitability of the candidate for reappointment, promotion, or granting of tenure. The mentor maintains the same voting rights as other members of the Standing Faculty. The Chair of the Personnel Committee may fulfill this function in lieu of another member of the Standing Faculty.
- c. Appoints one of its own members to monitor the candidate's review process so as to ensure all essential materials are available at time of the faculty decision.

The following materials must be included for all contract renewals, tenure, and promotions:

- a. A current *curriculum vitae*;
- b. Copies of all publications *since* their appointment to the faculty at the University of Pennsylvania or their last appointment on the faculty in cases of promotion and tenure decisions. Prior publications should not be included.
- c. All completed course/instructor evaluation forms located in the candidate's personnel file;
- d. A chart summarizing teaching and advising workload.

Candidates may submit any additional materials they wish in support of their candidacy.

The following additional materials must be included for tenure and promotions:

- e. Letters of commendation or criticism, and other relevant materials located in the candidate's file. In the case of requests for continuance, promotion, they should be only those since the former status was granted;
- f. A brief statement by the candidate and relevant supporting materials describing his/her development as a scholar and educator and plans for future growth and contribution to the School;
- g. A list of persons knowledgeable about the candidate's area of expertise from whom the Personnel Committee may solicit letters of reference and evaluation. This includes School of Social Policy & Practice (SP2) colleagues, University colleagues in other departments, and other academic and professional persons affiliated with other Universities and organizations.

Step 4 In cases of promotion and the awarding of tenure, the Dean requests evaluations by external referees from a list of names recommended by the Personnel Committee and the Standing Faculty. These evaluations are kept confidential by the faculty; the contents are not shared with the candidate.

Step 5 When the candidate's review materials are complete, including all letters of recommendation or a letter indicating why it has not been sent, the mentor notifies the Personnel Committee that the candidate's materials are ready for review.

Step 6 The Personnel Committee then notifies appropriate members of the Standing Faculty of availability and location of candidate's materials for review. When the vote is for reappointment in rank members of the Standing Faculty eligible to participate and vote are those equal or higher in rank. When the vote is for promotion, members of the Standing Faculty eligible to vote are those faculty members who hold the same or higher rank requested for promotion. When the vote is for tenure, only tenured faculty may vote. It is expected that the materials will be carefully reviewed by each voting member.

Step 7 Within ten days of announcing the availability of the candidate's materials for review, the Personnel Committee schedules a closed meeting with appropriate members of the faculty to discuss the candidate's materials in support of her or his promotion.

The Chair of the Personnel Committee, or the chair's designee, chairs the formal discussion of candidate under review, provided he/she is at least of the same rank as the candidate and is eligible to vote on the candidate.

Discussion is limited to consideration of the criteria constituting the official basis for candidate's review.

The Chair of the Personnel Committee (or another committee member if the Chair is not eligible to vote for this candidate) verbally summarizes the discussion, point-by-point, so that faculty can be assured all matters pertaining to the review have been thoroughly addressed.

These points are to be reflected in the document written by the Chair which will become

a part of the candidate's record. In the event that the Dean cannot be present or chooses not to be present, the Personnel Committee Chair shares the summary of the discussion with the Dean orally in addition to the written document for use in the Provost's Staff Conference.

Step 8 Within two days the Personnel Committee will hold an election by secret ballot on the candidate's request for reappointment, promotion, and/or the granting of tenure.

Step 9 The ballots will be counted jointly by at least two members of the Personnel Committee. The Chair of the Personnel Committee will communicate the results to the Dean as soon as possible after the ballots are counted and to the appropriate faculty, within or above rank, within a week after informing the Dean. The Dean will communicate these (numerical "yes/no") results to the candidate and the relevant faculty as soon as possible. If the Dean has not communicated the results to the candidate within a week, the Chair of the Personnel Committee will initially report the (numerical "yes/no") results to the candidate and then report the (numerical "yes/no") results to the appropriate faculty within and above the candidate's rank.

Step 10 Dependent on whether the election is "in rank retention" or a "promotion to the next rank" only those people voting on this specific request for retention or promotion will be informed in writing of the outcome of the ballot.

Step 11 The Personnel Committee writes a final report on the reappointment or promotion process, including reporting the outcome of the election.

Step 12 The Dean then notifies the candidate of the outcome of the election.

Step 13 The Dean reports the outcome of the candidate's review process (election results) to the Provost's Staff Conference (PSC) as part of the University-level review of the candidate's suitability for reappointment, promotion, and/or the granting of tenure.

Step 14 The Dean reports the outcome of the PSC review to the candidate and the appropriate faculty. If positive, the Dean communicates the results to the entire Standing Faculty, to the faculty as a whole and to the staff.

F. Standing Faculty-Clinician Educator

As of 2005, the School is no longer authorized to hire Clinical Educators (CE). The section to follow is policy grandfathered to continue to apply to one current CE.

The following guidelines for appointment and promotion of Standing Faculty-Clinical Educators pertain to the current associate professor holding this title.

1. Definitions

The Personnel Committee and faculty of the School of Social Policy & Practice (SP2) will use the following definition of a **Standing Faculty-Clinician Educator** when considering promotion within the Standing Faculty-Clinician Educator track.

The Standing Faculty-Clinician Educator is a faculty member who is primarily, but not exclusive-

ly, a teacher of social work practice. The Standing Faculty-Clinician Educator contributes to the advancement of social work knowledge through scholarly activity. A person in this position is a member of the Standing Faculty of the University with all rights and privileges of other faculty with the exception of voting on matters of tenure and/or promotion of already tenured faculty.

For purposes of this manual, social work practice includes direct (face-to-face) practice with individuals, families, and groups, and macro practice (administration, planning, community organization, consultation, and staff development). A teacher of social work practice provides classroom instruction to students on the theory and implementation of the social work role in field settings.

Social work knowledge consists of theory and theory-based empirical research that inform social policies and social work practice. This knowledge includes but is not limited to the following areas: human behavior in the social environment, social policy, social work services, practice interventions, institutional racism and social change, and research methods.

Scholarly activity encompasses publications, research, demonstration projects, program evaluation, and papers presented at professional conferences. The scholarly activity of the Standing Faculty-Clinician Educator includes but is not limited to research on practice.

2. Criteria for Reappointment, and Promotion of Clinician Educators

The University of Pennsylvania established the category of Standing Faculty-Clinician Educator to recruit and retain faculty in the clinical disciplines. It is expected that Standing Faculty-Clinician Educators will generate new knowledge in their respective fields of practice and assume leadership roles in the application of new knowledge to practice.

The reappointment and promotion of an individual as a Standing Faculty-Clinician Educator is based on the extent to which she meets criteria addressing the mission of the School of Social Policy & Practice (SP2) in teaching, scholarship, and service. It is understood that the teaching of practice is the major priority of the Standing Faculty-Clinician Educator, and that teaching performance is a key criterion in the appointment, reappointment, and promotion. In addition, the Standing Faculty-Clinician Educator is expected to generate new knowledge and provide service to the University and professional communities.

The reappointment or promotion of a Standing Faculty-Clinician Educator is made by the recommendation of the faculty of the School of Social Policy & Practice (SP2).

A re-appointment or promotion of a CE must be reviewed and approved by the Personnel Committee and the School of Social Policy & Practice (SP2) faculty. General criteria as established by the Standing Faculty of the School are followed in this process. The re-appointment or promotion must also be reviewed and approved by the Dean and the Provost Staff Conference.

The appointment letter of the Clinician Educator in the School of Social Policy and Practice includes:

- Length of appointment, workload responsibilities, performance expectations, and level of compensation;
- Circumstances under which the contract can be terminated;
- Rights and responsibilities as a member of the Standing Faculty.

In the event that A CE does not meet conditions of reappointment, termination of employment of a Standing Faculty-Clinician Educator will occur.

The Standing Faculty-Clinician Educator is required to meet the same standards of scholarship and teaching as required for other Standing Faculty.

3. Voting by Clinician Educators

Voting by Clinician Educators is guided by the following principles.

1. Clinician Educators may vote on hiring faculty members at the assistant professor level regardless whether the individual is applying for a tenure-track position, associated faculty, or other designated faculty position.
2. Clinician Educators may vote for the reappointment of untenured tenure-track assistant professors.
3. Clinician Educators may not vote on the promotion of tenure-track faculty or vote on a decision to tenure a faculty member.
4. Clinician Educators may participate in and chair committees.

G. Associated Faculty

As described in the University's *Handbook for Faculty and Academic Administrators*, Section II.B.3.4

“Members of the Associated Faculty play varied and important roles in the teaching, research, and professional programs of the University” but “do not acquire tenure.” Permissible ranks parallel those of the Standing Faculty used in conjunction with their category of Standing Faculty. Associated faculty includes adjunct faculty, field faculty, research faculty, and visiting faculty.

H. Adjunct Faculty

The title of adjunct faculty may be applied, upon vote of the Standing Faculty and approval by the provost's office, to individuals who serve as associated non-tenure bearing faculty through teaching, research, advising doctoral students, and/or serving on dissertation committees.

Adjunct faculty members are primarily individuals whose careers are outside of the University, whether self-employed, employed by or emeritus from other institutions of higher education, or working in professional practice venues. Such persons are appointed to part-time academic status while continuing their principal associations or careers elsewhere. .

Appointments may also be made to academically qualified persons employed by the University for non-academic or administrative duties.

Appointment, reappointment and promotion require a vote of the Faculty Personnel Committee with a recommended time period for the appointment consistent with University policy and a vote of the Standing Faculty, along with the Provost's approval. Persons may serve without limit of time through successive reappointments. The University does not assure continuity of appointment for any person in the Adjunct Faculty.³

The three ranks of adjunct appointment are as follows⁴: Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor.

Criteria and Qualifications of Adjunct Faculty

Candidates for appointment as Adjunct Faculty are expected to meet the research, teaching, and service criteria applicable to appointments at their respective rank to the Standing Faculty, with the following exceptions: candidates who are practitioners, administrators, researchers, or policymakers are expected to have documented exemplary achievements in their respective fields. The Faculty Personnel Committee is responsible for requesting and reviewing documentation for meeting these criteria and qualifications.

Procedure for appointment of adjunct faculty.

A member of the standing faculty typically sponsors an applicant for an adjunct faculty appointment. The faculty sponsor shall submit the following documents to the Personnel Committee:

1. A letter from the sponsor explaining how the appointment is consistent with the School's policies on adjunct faculty appointments
2. The candidate's curriculum vita
3. The names of three academic references

The Committee will solicit letters from the three references. When the application is complete, the Committee will review it and make it available to members of the standing faculty. Time will be scheduled at a regular standing faculty meeting to discuss the application, after which a ballot will be circulated to all members of the standing faculty. If a majority of voting faculty support the appointment, the Personnel Committee will make a recommendation to the standing faculty concerning the appropriate rank of the appointment, and a second ballot will be circulated to those members of the faculty having rank equal to or higher than that of the recommended appointment.

I. Field Faculty (see Field Instruction Manual)

³ Adjunct Faculty may serve as voting members of Ph.D. dissertation committees but may not serve as chairs of Ph.D. dissertation committees nor serve as primary academic advisors to Ph.D. students. Upon the review and approval of the Faculty Personnel Committee, they may serve as primary academic advisors to Clinical DSW students and as chairs of DSW dissertation committees. Scope and limits of responsibilities are specified in writing by the Dean at the time of appointment and each reappointment.

⁴ The School recognizes the importance of the Adjunct Faculty as instructors and advisors in the Clinical DSW program.

J. Research Faculty

The major points pertaining to such faculty are based upon the appointment process and policies specified in the University Handbook <http://www.upenn.edu/provost/images/uploads/2009>.

1. The purpose of Research Faculty appointments is to increase the quality and productivity of the research programs in the School. Salaries over the period of the appointment are derived from research grants or other external funds. Compensation for any limited teaching effort permissible to Research Faculty is derived from sources other than research grants.
2. Consistent with the University's *Handbook for Faculty and Academic Administrators, Section II.B.3.1* "The Research Faculty is composed of individuals who hold a terminal degree and who choose to concentrate on research. Appointees are not part of the teaching faculty, although invitations to present guest lecturers may be accepted." As such, members of the Research Faculty may not take responsibility for courses or seminars in the School or in other Schools or departments of the University, "nor may they supervise theses or doctoral dissertations unless prior approval of the Provost is obtained for each such activity. However, if the individual wishes to participate in the training of students in an area of expertise in which he or she is uniquely qualified, the "Dean may permit a limited teaching assignment in a course or seminar for which a faculty member with a tenure-significant appointment holds responsibility." Over the term of an appointment, "course and seminar teaching by a member of the Research Faculty may not exceed 10% of the expected course and seminar teaching load of a member of the Standing Faculty in the School and in any one year no more than 10% of the course and seminar teaching" in the School "may be done by research faculty. Supervision of theses or doctoral dissertations" is regarded as part of the research enterprise and the proportion of effort devoted to such supervision is not included in this limitation. Under no circumstances may a member of the Research Faculty be continuously engaged over an extended period in the same activities as faculty members having tenure or serving in a probationary period for tenure."
3. Members of the Research Faculty do not acquire tenure. Also, the Research Faculty will be appointed on a full-time basis only.
4. Permissible ranks are Research Professor, Research Associate Professor, and Research Assistant Professor. These titles are to be written in full whenever used on documents, in listings of University personnel, and in correspondence. Research professors and research associate professors may be appointed for terms up to 5 years and may serve without limit of time through successive re-appointments. Research assistant professors may be appointed for terms up to 4 years but in no case may a person hold that rank for more than 10 years.
5. Initial appointments may be made as research assistant professor. An individual appointed initially as assistant professor in the Standing Faculty may request review for transfer to the research faculty prior to reappointment. Time served in the tenure probationary appointment will be counted as part of the ten-year maximum period for research assistant professors. In the ninth year of the single track or combined track appointment, research assistant professors are subject to a mandatory review for promotion to research associate professor. Failure to obtain promotion requires termination of the faculty appointment at the end of the tenth year, assuming external funding is available for the terminal year appointment.

6. Members of the Research Faculty do not normally move to positions on the Standing Faculty, and they may do so only in conjunction with a national search. If a Research Assistant Professor moves to an untenured position on the Standing Faculty, the beginning of the tenure probationary period in the Standing Faculty is set at the date at which the probationary period for promotion to Research Associate Professor had begun.
7. The number of Research Faculty may not exceed 20% of the combined Standing Faculty and Standing Faculty-Clinician-Educator in the School or five positions, whichever is larger.
8. Members of the Research Faculty may not vote on matters related to Standing Faculty appointments and promotions, or on matters concerning the teaching mission of the School. Members of the Research Faculty may not serve on any committees concerned with teaching (i.e. Student Policies and Procedures, Academic Standing, etc.) or participate in personnel decisions involving the Standing Faculty.
9. Because appointments to the Research Faculty are contingent upon external funding and may be terminated when the funding ceases, indefinite continuity of appointment at any rank should not be assumed. For that reason all initial appointments and reappointments shall specify the sources of funding. The dependence of research appointments on grant funding reflects the University's policy to limit guaranteed long-term appointments to faculty who contribute in significant measure to both the teaching and the research mission of the University. Research Faculty appointments are for enhancement of research programs, particularly in those areas where unique expertise is required.

An appointment of a member of the research faculty can be terminated prior to the expiration of its term only if the source of external funding for the research faculty member has ended or for "just cause" as customarily defined and determined by the University. In the former event, the individual will be notified immediately of the cessation of funding. An attempt will be made to carry the individual on other funding sources, either to the conclusion of the term appointment or for a reasonable period in which the individual may attempt to secure other employment. When there is reason to believe that the individual may be eligible for transfer of employment to another University research group, efforts will be made to effect such placement.

An individual on the research track should not be supported for an extended period of time from funds derived from the unrestricted budget.

K. Visiting Faculty

As stated in the University's *Handbook for Faculty and Academic Administrators, Section II.3.5* "This group normally is confined to persons who are temporarily appointed by the University while they have continuing academic appointments in another institution of higher education, or have continuing associations with business or non-profit organizations, or with government agencies. A Visiting Faculty member is a full-time member of the University while on leave from the other institution, organization or agency with which he or she is affiliated. Full-time appointment as a Visiting Professor is limited to three consecutive years, and normally such appointments are for one year or less. Academic ranks in the Visiting Faculty are Visiting Professor, Visiting Associate Professor, and Visiting Assistant Professor."

L. Academic Support Staff

According to the University's *Handbook for Faculty and Academic Administrators, Section II.B.4* the term

Academic Support Staff includes “the many persons who participate in the School’s teaching, research, or clinical services, but who are not eligible for appointment to the Standing or Associated Faculty. Each appointment to the Academic Support Staff is for a term or years and is without tenure or tenure significance.” School of Social Policy & Practice (SP2) has the following categories of academic support staff:

Lecturer
Senior Lecturer
Senior Fellow

The criteria for these appointments are delineated in the University’s *Handbook for Faculty and Academic Administrators, Section B.4.1, 2 & 10.*

DRAFT L.1. Policy on Appointment of Lecturer

According to the University's Handbook for Faculty and Academic Administrators, Section II.B.4.1 “Appointments are for one year or less but may be renewed. Full-time service in the rank of lecturer is limited to three consecutive years, except where additional appointments are approved by the Provost.

1. The Lecturer position is a full-time teaching position and appointments are for one year or less, with service limited to three consecutive years.
2. Lecturers in the School of Social Policy & Practice are members of the support staff and do not hold tenure nor accrue time towards tenure. Lecturers are not members of the Standing Faculty and the total number of lecturer positions shall not exceed one.
3. Lecturers are not appointed from the ranks of Standing Faculty.
4. A recommendation for an initial appointment as Lecturer must clearly demonstrate that:
 - ➔ the proposed candidate is meeting a need for teaching services in the School of Social Policy & Practice
 - ➔ The teaching service provided by the proposed candidate is an essential part of the School’s academic program
 - ➔ The proposed candidate will likely perform this service at a very high level of competence, as judged by faculty, and students
5. Appointment and reappointment of a Lecturer shall be approved by the Dean in consultation with the Associate Dean for Academic Affairs and with other Standing Faculty as needed.
6. Continued reappointments are expected, provided that (1) the individual maintains her/his professional competence and (2) the academic need in the School of Social Policy & Practice continues to exist.

7. Criteria for reappointment in the School of Social Policy & Practice is based on: (a) evaluation of teaching performance (b) academic teaching needs

M. Affirmative Action Officer

Every two years the Standing Faculty of the School elects an Affirmative Action Officer to monitor equal opportunity compliance in the faculty appointment, retention, tenure, and promotion processes within the School. This officer must be a tenured member of the Standing Faculty who holds no administrative position.

The responsibilities of the Affirmative Action Officer include:

1. Review of the distribution of Standing Faculty by race/ethnicity and gender on an annual basis and presentation of a summary of this information to the faculty, the Personnel Committee, and the Dean. Findings from this review should be communicated early in the academic year.
2. Review of the fairness of internal processes related to retention, promotion, and tenure.
3. Consultation, at a very early stage in the search process, with the Personnel Committee on Affirmative Action goals and policies of the University and the School, on the placement and wording of advertisements, wording of letters soliciting candidates and requesting evaluations. Special effort is to be expended in contacting women and minorities. All advertisements for faculty positions should state: "The University of Pennsylvania is an equal opportunity employer."
4. Review of all faculty equal opportunity compliance forms related to searches and promotions for the School, in consultation with the Dean.
5. Periodic review of data on the external pool of candidates for faculty positions with the Dean.

N. Ombudsperson

The School's Ombudsperson program functions to reinforce commitment to mutual respect and propriety in relationships between students and faculty, faculty colleagues, faculty and staff, and faculty/staff and/or students and Dean. This program operates to resolve grievances at the School. The Ombudsperson provides a means of mediating these issues that may occur in the School.

1. Selection of the Ombudsperson

The Ombudsperson is a member of the Standing Faculty member, selected in the following manner: a nomination committee (two faculty, two staff, and two students) is created to nominate two Standing Faculty members to serve as ombudsperson; the nomination committee selects its own chair (one of the two faculty nominating committee members); the selection committee nominates two faculty members and forwards their names to the Dean; the Dean selects one person from those nominated to serve for a two (2) year period.

2. Procedures of the Ombudsperson in Handling Grievances

The Ombudsperson, who serves any aggrieved person (X) in the whole School of Social Policy & Practice (SP2) community, has four functions: consultation, data gathering, mediation, and advocacy. None of these procedures in any way abridge X's freedom to pursue other alternatives.

a. Consultation

- The aggrieved person (X) initiates contact with the Ombudsperson. The Ombudsperson then serves as a consultant for X in the following ways:
- The Ombudsperson informs X of the purposes and functions of the Ombudsperson and discusses the range of options.
- The Ombudsperson listens to X's complaint and attempts to articulate the precise nature of the behavior in question and then interprets for X the extent to which the grievance is covered by University and School policies.
- The Ombudsperson then explores options with X: a) X may choose not to pursue the case further, b) the Ombudsperson may help X to consider alternative strategies for X's personal handling of the situation, c) X may choose to request that the
- Ombudsperson serve as a mediator between X and the accused perpetrator (Y) and d) X may choose to lodge a formal complaint. The Ombudsperson's further involvement in the case will depend on which of the options the student chooses.

b. Mediation

- If X chooses mediation, the Ombudsperson then gathers data relevant to the case and with the permission of X, sets up a meeting with Y. X has the right to choose either to be present or not to be present at this meeting, and has the right to have his/her identity revealed or not revealed.
- The goal of this meeting (or meetings) is to reach a mutually agreeable resolution of the situation. Any agreement so reached will not constitute a personnel action.
- If no mutually agreeable resolution is reached, X may choose to drop the case, to use the Ombudsperson's informal counseling or to proceed to a formal complaint. The request for mediation does not abridge X rights in this regard.

c. Formal Complaint

- If X chooses to file a formal complaint, the Ombudsperson will advise X of the appropriate channels (Dean of the School, University Ombudsperson, Women's Center, grievance procedure, etc.). The Ombudsperson may refuse to hear a complaint if he or she believes that he or she has a conflict of interest with respect to the issue.
- If X wishes to use the School's internal formal procedure (e.g., a formal complaint to the Dean) the Ombudsperson may choose to serve X's as an advocate in these proceedings. This, however, is at the Ombudsperson's discretion. The willingness of the Ombudsperson to play this role will in no way abridge the right of X to exercise her or his rights in this regard.

d. Dropping a Case

- At any point in the process, X may choose to drop the case. Such a case will be included in the annual reports of the Ombudsperson (see below, **Data Gathering**), but the ombudsperson will not proceed with a case after X makes such a determination. The Ombudsperson may advise X to drop the case if she/he feels no other resolution is possible or that X's complaint does not constitute a grievable action. Such a determination by the Ombudsperson does not interfere with X's right to proceed in any way she/ he may choose, including the use of the Ombudsperson for informal counseling.

e. The Rights of the Accused (Y)

- If Y feels that X's actions have constituted a violation of the University's or the School's code of conduct, there are two means of redress: the Office of the Dean or the University's Ombudsman.

3. Data Gathering

- a. One of the major responsibilities of the Ombudsperson is to report to the faculty on actions taken by the ombudsperson, in the form of a written annual report, which is to include the number of contacts and consultations, the disposition of each case, and the nature of the complaints made. The Ombudsperson is to include in the report any systematic pattern in the complaints. If the Ombudsperson receives repeated complaints about the same individual, she/he is required to set up a meeting to inform the relevant segments of the School of Social Policy & Practice (SP2) community of the pattern of the complaints, seek to unearth the causes, and to assist Y with counseling as to how to resolve the situation.

- b. The Ombudsperson's report is to be made public to the relevant segments of the School of Social Policy & Practice (SP2) community. Therefore, it should include no information that might make it possible to identify a complainant or respondent.
- c. Each retiring Ombudsperson should brief his/her successor for the purpose of tracking potential future complaints.

Special Note: All cases of alleged sexual harassment are required to follow the University's prescribed policies and procedures.

O. Faculty Grievance Procedure

The University has a grievance procedure that is available to any member of the Standing Faculty, Standing Faculty-Clinician-Educator, Associated Faculty, Academic Support Staff, or compensated Emeritus Faculty of the University of Pennsylvania. The University's *Handbook for Faculty and Administrators Section II.E.12* delineates the procedures.

PART III.

WORKLOAD AND PERFORMANCE REVIEWS

A. Workload

The current approach to workload planning and assessment is known as the “40:40:20 Model” (see Appendix A). This approach allocates: a) **two days per week to teaching**; b) **two days per week to research** (*whether sponsored or un-sponsored*); and, c) **one day per week to service**. Considerable variations in the general model are possible, reflecting the workload responsibilities of individual members of the Standing Faculty (e.g., 20:60:20 [*research heavy*] or 20:40:40 [*administration/service heavy*]). In all cases, however, workload planning rests on the following principles:

1. The principle of protected time in which to undertake significant scholarly activity.

The principle of protected time is to ensure that (a) research is at the center of the School of Social Policy & Practice (SP2)’s faculty work-load activity; and (b) the sought-after research “deliverables” can actually be attained within the context of a normal academic workload, e.g., publications, the preparation of proposals for sponsored research, and the initiation of other faculty activity that contribute directly to their knowledge development responsibilities as a member of a first-tier research School within a first-tier research University.

- More specifically, workload performance is assessed annually with special attention being given to the research deliverables achieved during the current academic year.

2. The concept of collective responsibility:

Workload planning makes it imperative that all faculty members participate fully in the life of the School and, as possible, in that of the University and larger community (locally, nationally and globally).

- *Internally*, such participation may take the form of faculty engagement in student recruitment activities, student orientation and program days, School-sponsored lectures, fundraising, retreats, and so on.
- *Externally*, such activities shall include participation at a leadership level in the work of local, national and global professional organizations and associations whose works bears directly on the scholarly interests of the individual faculty member.

3. The concept of committee participation:

In order to maximize equity and efficiency of faculty governance, it is critical for all members of the Standing Faculty to participate actively on standing committees, program governance committees, task-centered ad hoc groups, and University committees to represent the School.

B. Workload Principles

The following principles serve as guidelines in developing the School's standards for workload distribution:

1. The School of Social Policy & Practice (SP2) is a graduate professional School comprised of various program components.
2. All assignments are open and available to faculty.
3. Priority is given to coverage of required courses; members of the Standing Faculty are accorded priority for course assignments within the area of their expertise.
 - Overload compensation or retroactive credit shall be given for work assignments over the workload standard.
4. Funding from sponsored research, agency research contracts, or training grants, may be used to "buy out" teaching time, selected administrative assignments, or other assignments to devote time to an increased amount of effort to research or training within the requirements established by the terms of the sponsoring organization or agency... subject to the following limitations:
 - Baseline service for all Standing Faculty, regardless of rank, is one major committee assignment (with the exception of assistant professors in the first year of their appointment). This includes governance groups, the PhD steering committee and School committees where a designated number of members is required to be Standing Faculty, i.e., the Personnel Committee (PC) and the Committee on Student Policies and Procedures (CSPP).
5. When there is no need for a majority of members of the Standing Faculty to serve on a governance group or a major committee in a given year, assistant professors, who provide in detail research-related reasons for relief from this obligation, will receive priority consideration for exclusion or reduction of time allocated to participation in School-related service activities.
6. In general, members of the Standing Faculty also are expected to participate in 1 or 2 governance, standing or other committees and may, within the limits of their workload, volunteer to serve as a member of committees which generally require less of a time commitment (e.g., Committee on Academic Freedom and Responsibility). Only during sabbaticals are faculty free of this minimum service requirement, or when the Dean deems that a faculty member has too heavy an administrative set of responsibilities within the School or University.
7. As a general rule, members of the Standing Faculty may not buy out of all teaching responsibilities and are expected to teach minimally 1-2 courses per academic year. Exceptions to this rule may be granted by the Dean for faculty who carry extremely heavy administrative responsibilities within the School or University, or when 80% or more of a faculty member's time is compensated for administrative responsibilities within the School or University, or by grants, contracts, or fellowships.

- Every 25% of compensated time on a grant, contract, or fellowship is equal to 1 unit of course release.⁵
 - At the discretion of the Dean, a faculty member may receive a reduced teaching load for financially uncompensated scholarly activities such as the preparation of a grant or contract, or completion of a book manuscript. The amount of released time is negotiated by the faculty member with the Dean in the spring, at the time his/her workload for the coming academic year is determined.
8. Standing Faculty workloads are arrived at through an annual planning process between individual faculty members and the Associate Dean of Academic Affairs and the Dean. Ideally, workload planning for the following academic year begins at the end of the first semester.
- Standing Faculty whose workload falls short of the prescribed standard in a given year -- and is not accounted for through retroactive credit or "buy out" through grants or other compensated activities -- are to negotiate future compensatory workload activities with the Dean.
9. Summer teaching assignments are calculated outside of the above workload standard. These assignments shall be distributed based on faculty interest and area of expertise;
10. Release time for additional research to support untenured faculty advancement toward tenure is built into the workload plan. The request should be based in a demonstrated plan for achievement of specified goals with estimates of release time necessary. The release request should be sent forward so that sufficient time is allowed to assure the needs of the School programs can be adequately met.
- In the case of new or recent appointments to the Standing Faculty, negotiations with the Dean for early release time should appear as part of the hiring contract.

C. Additional Workload Guidelines

Given the complex responsibilities that members of the Standing Faculty must shoulder within the School's five degree programs, it is difficult to assign specific weights to every aspect of an individual faculty member's workload. Inevitably, the determination of an individual's workload will result from an agreement between the faculty member and the Office of the Dean. In this context, this document's simply presents an outline of its most common elements.

1. Scholarship

As noted above, all members of the Standing Faculty are entitled to two days of protected time for their scholarship, even in cases where there is no external support for that scholarship. For members of the faculty who have external support for their academic salary, workload should al-

⁵ Inasmuch as the primary source of revenue for the School is tuition, faculty "buy out" for a single course unit (1 CU) is 25% of the faculty member's 9-month contract. This percentage covers the cost of replacement teaching, the purchase of a proportional share of unsponsored research time, and a pro-rata share of time allocated to service related activities.

low proportionate time in their workload assignment. In addition, the Dean may, at her or his discretion, recognize other unfunded forms of scholarship including developing research proposals or initiating a research agenda.

In exchange for this level of protected research time, faculty members are expected annually: a) to produce at least 2-3 journal length articles in first-tier peer reviewed journals; b) prepare and submit proposals for external funding; and c) deliver other tangible products of their active engagement in research during the protected time period.

Research accomplishment beyond these minimal shall be considered by the Dean in determining merit award payments and salary increases.

2. Teaching

The “standard” teaching load in the School is four one-semester courses per year. Adjustments in the standard workload are made in a faculty member’s teaching load only when that individual is carrying above or below average commitments in other responsibilities.

In addition to courses, members of the faculty at times undertake other teaching responsibilities that are central to the School’s mission. Although there is no set standard for these responsibilities, when an individual faculty member has either accepted a significant number of these responsibilities in a particular year or an above average number for several years, it is reasonable for her or him to receive some reduction in other responsibilities. These areas include: a) student advising; and b) chairing or serving as members of dissertation and doctoral student committees.

3. Service

Responsibility for chairing a Standing Committee within School of Social Policy & Practice (SP2) (i.e., Personnel Committee and the Committee on Student Policies and Procedures) and/or Chair of a degree program will be considered a governance responsibility.

- Members of the faculty who serve in these positions should have their teaching workload adjusted according or receive an administrative stipend from the School
- Adjustments in a faculty member’s workload should be made for those who undertake broader responsibilities beyond a 100 point workload; such adjustments may include an administrative stipend

D. Workload Guidelines for Assistant Professors

Assistant Professors (Tenure Track): In order to maximize their ability to achieve tenure and promotion, and to assist them in developing their research agendas, assistant professors will have the following workload:

- Year 1 2 courses, 1 minor committee; no major committee assignments
- Year 2 2 courses, 1 minor committee; 1 major committee assignment
- Year 3 3 courses, 1 minor committee; 1 major committee assignment

- Year 4+ 4 courses, 1 minor committee; 1 major committee assignment

E. Annual Faculty Performance Evaluation

The following evaluation procedure is designed to build upon: (1) a common course evaluation system; 2) a definition of scholarly productivity and community service; and 3) an annual system to collect and present faculty information for the purpose of salary review and faculty development.

In order to maintain maximum faculty involvement in an ongoing evaluation process, a system of annual faculty self-assessment has been established. The process occurs each spring and has two components.

- In April, the faculty member prepares a two page statement describing his/her teaching, scholarship, and service during the past year.
- In April the Dean prepares a summary of productivity of the Standing Faculty over the previous year using the following categories: articles in peer-reviewed journals (published or accepted for publication), authored/co-authored books (published or accepted for publication), edited books, monographs or research report, chapters in books, edited journals and other outlets, including book reports, research grants submitted and awarded, total value of external funding.
- The Dean reviews this material and allocates merit increases (using the merit pool assigned to the School by the Provost) according to the criteria listed below. This review is supplemented by other materials in the faculty member's file including publications, course evaluation forms, and letters of commendation or awards.

Those members of the Standing Faculty whose productivity is significantly higher than the overall faculty average should receive priority merit increases. Faculty members, whose productivity is consistently lower than average, should receive a lower than average salary increase.

- The Dean shares the results of this assessment in writing with each faculty member and identifies areas for faculty development by means of individual conferences.

F. Criteria for Evaluating Faculty Activity

Each faculty member is to be evaluated by the Dean's office according to three performance categories noted in the University *Handbook* (*Section II. E, 1: Statement on Faculty Responsibility*) and in accordance with the 40:40:20 design of faculty workload planning.

Teaching Teaching competence in class and development of educational material and curriculum. Courses taught since the last faculty evaluation should be listed on the Faculty Activity Report Form. The form should indicate the number of students in the class, the number who completed the course evaluation, and overall ratings of the instructor and the course. In addition, other educational activities should be listed on this form. These include advising students; teaching independent study courses; chairing and serving on dissertation committees; curriculum development; and development of new teaching materials.

Scholarship Publication of articles in peer-reviewed journals (published or accepted for publication), authored/co-authored books (published or accepted for publication), edited books, monographs or research report, chapters in books, edited journals and other outlets, including book reports, will be listed in this section. The form should indicate whether the written material has been published, was accepted, is under revision, or is in process. In addition, unpublished works can be listed and these may include grant proposals, monographs, and reports, as well as speeches, papers, and work in progress. Other significant, though unpublished endeavors, can be included and so can other evidence of scholarship such as awards and fellowships.

Service Substantial contribution to the School or University community, professional and/or community service to local, state, national or international community. The latter includes serving on the editorial board of professional journals and as a reviewer for journals or publishers as well as review of grant reviews and conference abstracts.

G. Course/Instructor Evaluation

There are two procedures to evaluate the performance of faculty in their instructional capacity. One procedure involves the evaluation of each course and its instructor by the students enrolled. At the end of each semester, students complete evaluation instruments on the Web. The results of the evaluations are shared with faculty after grades have been submitted. The evaluations are also placed in faculty personnel files and used as part of the annual review process.

At the discretion of the Personnel Committee, the second set of procedures involves peer evaluation of classroom teaching. The following procedures have been adopted as a general structure for conducting this peer evaluation.

1. Shortly after a faculty member is scheduled to be evaluated, the Personnel Committee, in consultation with the faculty member, will identify a faculty colleague to conduct the classroom visits. Under most circumstances, the faculty member under review will be visited twice during the same semester.
2. As soon as possible, the faculty evaluator and the person under review shall meet to identify the date and time of the evaluation visits. The faculty member under review will provide the evaluator with a syllabus and other relevant materials. S/he will brief the evaluator about the focus of the class sessions to be attended. The evaluator will answer any questions about the process.
3. During the class prior to the initial visit, the faculty member under review shall inform the students of the visit, identify the faculty evaluator, explain the purpose of the visit, and answer any questions the students may have.
4. During the week prior to the visit, the two faculty members shall discuss any changes that may have occurred in the syllabus, identify any issues that may have emerged in the course, and discuss any additional concerns.
5. At the class session, the faculty member under review shall briefly introduce the evaluator and proceed with the class session as usual.
6. The two faculty members shall meet as soon as possible after the class session (usually within a week) so that the evaluator may provide feedback to the faculty member under review. This will

include review of the completed evaluation form (see appendix) and (where appropriate) discussion of strategies for addressing any problems or concerns that may have emerged.

7. The faculty reviewer shall write a brief report within two weeks of the second observed visit. A copy of the report shall be given to the faculty member under review, who has the right to write a response or addendum to the report. Copies of any response shall be submitted to the Personnel Committee and the faculty evaluator. The faculty member under review may request that an additional session be observed in order to provide a fuller picture of her/his teaching ability.

8. The final report, with addenda, is placed in the faculty member's file.

H. Faculty Mentoring

Mentoring of new faculty constitutes an important component in the orientation of faculty members to the life and responsibilities of the University and shall begin immediately upon the appointment of a new faculty member to the Standing Faculty. Thus, School of Social Policy & Practice (SP2) takes seriously its responsibility to provide a formal mechanism for introducing new assistant professors and other untenured and tenured professors at other academic ranks to Penn, its expectations as an institution, and to the School's and the University's rich diversity of human and other resources. To that end, the following policies will guide the selection and appointment of mentors and mentees as well as the responsibilities that are incumbent upon each.

1. Newly Hired Assistant Professors

- a. All newly hired faculty members receive an administrative orientation to the School and the University within the first month of their appointment to the School of Social Policy & Practice (SP2) faculty. The content of this orientation may differ for each faculty member but, in all cases, the purpose of the administrative orientation is to familiarize newly appointed faculty members with the general policies, procedures, and extensive organization resources of the University. The Dean, or the Dean's designate (e.g., Chair of the Personnel Committee), may conduct these orientations.
- b. All faculty hired into the Standing Faculty as untenured Assistant Professors, in consultation with the Dean and the faculty member, are matched by the Chair of the Personnel Committee with a colleague-mentor within one month following the commencement of the new academic year in which the mentee takes up employment at Penn. The match of mentor and mentee is based minimally on the teaching and scholarly interests of the newly hired faculty member and the faculty mentor. In all cases, every effort is to be made to match faculty mentor and mentee as closely as possible on the basis of at least their shared areas of research and teaching interests, administrative responsibilities, or other appropriate criteria.
- c. Faculty mentors are asked to hold an initial informal meeting with the newly hired faculty member within the first month of the academic year. The purpose of the meeting is to discuss the content of the newly hired faculty member's teaching assignments, programs of research, planned or potential scholarly activities (e.g., planned or potential submission of scholarly articles, planned submissions of proposals for external funding applications, course

design and organization). The faculty mentor also is expected to provide advice concerning the existence of various internal (Penn) and external (local, national and international) networks and resources of potential use to the mentee in beginning his or her academic career.

- d. Following the initial meeting, the mentor and mentee then decide on an appropriate schedule of follow-up meetings. At a minimum, such meetings should occur at regular intervals in order to provide ample opportunities for mentee and mentor to discuss proposed papers and other manuscripts for publications as well as the general substance of and submission plans for research grant applications. These meetings also provide the mentor and mentee the opportunity to discuss other aspects of academic life of particular interest to the mentee.
- e. If deemed appropriate by either the mentee or the mentor, or both, either party in the relationship may request the Chair of the Personnel Committee to assign a new mentor to the faculty member based on interests or areas of specializations. These requests will be honored without prejudice to either the mentor or mentee and are understood to reflect a clearer understanding of the changing learning and/or support needs of the mentee.
- f. At the time of the 3-year review, the mentor is expected to make a presentation to the faculty regarding the faculty member's progress. If specific resources are needed to enhance the faculty member's teaching, scholarship or service, they are discussed as part of the 3-year review.
- g. On occasion, or when requested by the mentee, a group of faculty members may be appointed by the Chair of the Personnel Committee at any point during the initial three-year appointment of a new faculty member to provide substantive or methodological assistance to the mentee (including assistance with research design, statistical methodology, appropriate journal venues for publication, appropriate colleagues from the profession or elsewhere in the University who might be willing to review articles or grant proposals).
- h. To ensure that the mentoring relationships is meeting the expectations of both parties, the Chair of the Personnel Committee will confer annually with both the mentor and the mentee to ensure that a "goodness of fit" in the match continues to exist.
- i. Once identified, faculty mentor-mentee relationships at the Assistant Professor levels are formalized by the Dean.

2. Newly Hired Associate and Full Professors With or Without Tenure

The mentoring needs of experienced faculty members, with or without tenure, differ appreciably from faculty who are new to University life. As such, and on the basis of the needs of individual new faculty members, tenured and untenured Associate and Full professors are encouraged to identify an experienced faculty member within School of Social Policy & Practice (SP2) to serve as a mentor. The identification of a mentor should take place early in the appointment process and, in every case,

should be completed by not later than the 2nd or 3rd month of the faculty member's appointment. The Chair of the Personnel Committee may facilitate the mentee-mentor matching process.

The support functions of the faculty mentors with experienced faculty members are four-fold:

- a. To provide insight into the structure, policies and general organization of Penn. This orientation is to be provided during the new faculty members first month of employment at the University and is the responsibility of the Dean or the Dean's designate;
- b. To introduce the new faculty member to the rich array of human and fiscal resources that exist within both the School and the University, especially those resources related to the faculty members areas of research and teaching interest;
- c. When appropriate, to initiate introductions of the mentee to faculty members in other Schools, departments, and other units of the University whose areas of research and or teaching interest bears directly on those of the newly appointed faculty member;
- d. The new faculty member may request the mentor to offer guidance concerning course design, grant proposal development, article and book preparation, and related professional activities at the local, national and international levels.

Faculty mentors also shall be available to assist newly hired Associate and Full Professors with such other professional matters as seem appropriate to both parties, e.g., manuscript preparation and development, grant proposal preparation and development, course design and organization, and so on.

Once identified, faculty mentor-mentee relationships at the Associate and Full Professor levels will be formalized in writing by the Dean.

To ensure that the mentoring relationship is meeting the expectations of both parties, the Chair of the Personnel Committee confers annually with both mentee and mentor to ensure that a "goodness of fit" in the match continues to exist.

If deemed desirable by either the mentee or the mentor, or both, either party in the relationship may request the Chair of the Personnel Committee to assign a new mentor to the faculty member based on changing interests or areas of specializations. These requests will be honored without prejudice to either the mentor or mentee and are understood to reflect a clearer understanding of the learning and/or support needs of the mentee.

I. Scholarly Leave Policy

Consistent with the University's *Faculty and Academic Administrators Handbook, Section II.E.2* members of the Standing Faculty are eligible to apply for a scholarly leave with pay after twelve (12) semesters of service. Applications for leave must include a statement about how s/he will use the scholarly leave. The two major purposes are research and faculty development. Those faculty members with the longest period of service since the last leave or highest seniority are given preference in the allocation of leaves.

PART IV
APPENDIXES

A. Faculty Workload Summary Report for AY0910

Appendix A
University of Pennsylvania
School of Social Policy & Practice (SP2)

Preliminary Faculty Workload Summary Form
AY2009-2010

A full-time faculty workload in SP2 consists of activities in three sectors: *teaching*; *research*; and *service*. The distribution of workload for a given faculty member will vary from year to year (e.g., as in the case of faculty carrying major research or administrative responsibilities) and for those who are carrying more than a full workload through special arrangements with the Dean's Office (e.g., faculty members teaching course overloads or who are engaged in an unusual levels of the School, University, or other types of approved service activities).

Excluding all overload activities for which special financial or other overload arrangements have been made, indicate below your activities during the current academic year undertaken on behalf of the School of Social Policy & Practice (SP2). Report overload and other special professional activities in Part IV of this Report.

Part 1. Teaching:

A. Fall Semester Courses:

1. _____
2. _____
3. _____

B. Spring Semester Courses:

1. _____
2. _____
3. _____

C. Student Advising:

1. MSW Student Advising # of students: _____
2. MS Student Advising # of students: _____
3. Doctoral Student Advising # of students: _____
4. Doctoral Dissertation Committee, Mbr # of students: _____
5. Doctoral Dissertation Committee, Chair # of students: _____

D. Independent Studies # of students: _____

E. Other Teaching Activities (describe):

Part 2. Research:

Scholarship, both sponsored and unsponsored, constitutes a major portion of the workload for faculty associated with School of Social Policy & Practice (SP2).

A. Briefly describe your major research and research-related activities during the current academic year.

B. List the major *outcomes* of your research during the current academic year including: 1) publications (e.g., articles accepted for publication in first-tier refereed journals, book chapters, books, etc.); 2) proposals developed and submitted for external support; and, 3) other creative activities related to your research. Use an additional page if needed.

Part 3. Service Activities :

Service is a major “citizenship” obligation of each faculty member. Please identify the major service activities in which you engaged during the current academic year: 1) within School of Social Policy & Practice (SP2); 2) within the larger University; and 3) beyond School of Social Policy & Practice (SP2) and the University, in external local, national, and international organizations. (When developed, please reference the typology of service activities developed by the Personnel Committee).

A. Service Activities Within School of Social Policy & Practice (SP2):

B. Service Activities to the Larger University:

C. Service Activities Beyond School of Social Policy & Practice (SP2) and the University:

1. Local organizations
2. National Organizations
3. International Organizations

D. Other Service Activities Performed as a Faculty Member of the School of Social Policy & Practice (SP2):

Part 4. Special or Other Approved Activities Undertaken on Behalf of the School of Social Policy & Practice (SP2)

Identify *overload* or *other special administrative assignments* (e.g., program development, administration, etc.) you undertook on behalf of the School of Social Policy & Practice (SP2) beyond your normal full-time workload.

Faculty Member Signature

Date

Dean's Signature

Date