

UNIVERSITY COLLEGE

GUIDELINES FOR THE IMPLEMENTATION OF HR-40 EXTENDED REVIEWS FOR FACULTY

Purpose of the Guidelines

The purpose of this document is to provide guidelines for the campuses of University College for the implementation of the requirement for extended/post-tenure reviews for faculty in The Pennsylvania State University.

Purpose of Extended Reviews

The objective of an extended review is to supplement annual performance reviews with a forward-looking review covering a longer period of time. This longer-term focus supports an evaluation of the achievements and contributions over time of each faculty member and the discussion of future interests, goals and faculty development needs. It is intended to recognize and reinforce the accomplishments of faculty as they contribute to the missions of their campuses and the University, and to link faculty performance to available rewards. In addition, this review will encourage and support those who can improve but may need some assistance. In some rare cases, it will identify faculty members who are not contributing to these respective missions according to their potential.

Within University College a strong emphasis is placed on the developmental aspect of the extended review to help faculty improve their capabilities, as well as those of the campuses, in teaching; research, creative accomplishments and scholarship; and service. This emphasis reflects the premise that faculty careers change over time as professional interests evolve in new directions and that such growth should be encouraged and supported. The extended review therefore will be an important tool to identify the support needed by faculty members to be successful in their work as their careers evolve. Consequently, this will be a process in which faculty members are expected to be thoughtful participants in the identification of their needs and the design of the next stages of their careers. Examples of support include, but are not limited to, the following: training in instructional techniques, travel to attend research and pedagogical conferences, mentoring, grant writing workshops, and other professional development activities identified by the faculty member and the Director of Academic Affairs (DAA).

Faculty Eligible for Extended Reviews

All faculty members in University College who are tenured, on continuous appointments or fixed-term multi-year five-year appointments will be covered by the extended review policy. The extended review will be conducted as part of the contract renewal process for fixed-term faculty members.

Schedule for Extended Reviews

Extended reviews normally will be conducted regardless of rank every five years after the award of tenure. When a promotion occurs (e.g., promotion to full professor), the five year extended review period will begin anew effective on the date of the promotion. The campus DAA will prepare a list of future extended review dates for each faculty member and circulate this list to the tenured faculty members in the spring semester of each year.

To provide adequate preparation time faculty members will be notified at least two semesters in advance of the deadline for the submission of the materials required for the extended review. In University College this will be no later than January 30 of the academic year preceding the scheduled review year.

A faculty member who has submitted a signed letter of resignation effective at the end of the year in which the extended review would occur, or the following year, will be excluded from the review process. Plans for retirement unsupported by official retirement actions will not be an acceptable basis for exclusion from the review.

Extended Review Documents

The preparation of the documentation for an extended review should not be a burdensome process and should be based primarily on existing documents. The required materials to be used as the basis for the review are listed below.

1. Narrative statement: A concise and thoughtful narrative statement from the faculty member attached to the latest annual Faculty Activity Report, no longer than three pages in length. This statement should provide an overview of accomplishments during the extended review period, including contributions to the missions of the campus and the university, with particular attention to the quality of the work and/or impact. In addition, the statement should discuss professional and academic goals and plans for the next five years, and identify professional development needs.
2. Faculty Activity Reports (FARs): The five most recent FARs, including the most recent year, and the corresponding annual letters of evaluation.
3. Curriculum vitae (CV): The CV submitted for the post-tenure review should be updated before submission. A list of courses taught, the complete history of the scholarly record (publications, presentations and related) and the complete service history at Penn State and outside the University should be included. The categories defined for promotion and tenure dossiers should be used to organize this information.

The CV and FARs provide complementary perspectives on the career development of a faculty member. Although the CV provides an easy-to-review history, particularly of scholarly and service activities over time, it does not include detailed information about teaching. In contrast, the FAR provides an in-depth annual snapshot with detailed information for each of the past five years. Also, the FAR includes information about teaching effectiveness such as SRTE data.

Campuses may at their discretion include additional materials to complement the required information. For example, peer reviews of teaching and surveys to evaluate student advising may be included.

Responsibility for Performing and Monitoring the Evaluations

Following the model for the annual performance review, the extended review is the joint responsibility of the campus chancellor and DAA. Both administrators will sign the letter, in addition to the department head for faculty members who have retained their tenure in a University Park college.

The extended review process will be included as part of the one-on-one meeting between the DAA and the faculty member to conduct the annual performance review during the spring semester. It will be the responsibility of the DAA after consulting with the appropriate disciplinary faculty (for faculty members with their locus of tenure in University College) or Department Head (for faculty members with their locus of tenure in a University Park college or another campus college) to discuss the outcome of the review with the faculty member. The evaluation will clearly state that the performance has been satisfactory or unsatisfactory. The DAA also will formulate in cooperation with the faculty member an agreed plan for faculty development and/or performance improvement.

If there is a disagreement between the faculty member and the DAA and/or Department Head and/or campus chancellor over the outcome of the review which cannot be resolved, the University College Promotion and Tenure Committee may be consulted for assistance.

In those rare cases in which a faculty member is found to be performing unsatisfactorily and improvements in performance are necessary, the faculty member and the campus DAA, with consultation with appropriate disciplinary faculty or the Department Head of the faculty member, should work on an appropriate response and performance improvement plan. The University College Promotion and Tenure Committee should be consulted when agreement cannot be reached on a course of action. The implementation of the identified activities will be monitored by the DAA. The Vice President for Commonwealth Campuses (the Dean) will assist, in cooperation with the DAA and Chancellor, with the performance improvement activities as appropriate.

A summary of the extended review discussion and plans for faculty development and/or improvement will be included as a separate section of the annual review letter. Feedback on performance and recommendations for future activities should be as specific as possible to provide the most helpful guidance.

A report of this evaluation will be provided to the Dean of University College by sending a copy of the letter to the Associate Dean for Faculty and Research, and to the Dean of the University Park or other college if the locus of tenure is not University College. The Associate Dean for Faculty and Research will ensure that extended reviews are conducted in a timely manner. Also, the Associate Dean for Faculty and Research will inform the Dean of University College of any

unsatisfactory reviews and the performance improvement plan developed to address the performance issues.

APPROVALS

- Reviewed and approved by the Commonwealth College Faculty Senate, November 9, 1999
- Approved by Joseph Strasser, Dean, Commonwealth College, January 2000
- Revised 8/1/2006 to update language to reflect the reorganization that eliminated Commonwealth College and replaced it with University College, effective 7/1/2005
- Revised October 2008 to reflect recommendations of the University Faculty Senate Committee on Faculty Affairs, effective January 29, 2008
- Approved by John J. Romano, Vice President for Commonwealth Campuses, November 3, 2008