

College of Earth and Mineral Sciences

FT&R Faculty Policy

**For the conditions of appointment, evaluation and promotion
for research and instructional faculty members
who are not subject to the provisions of tenure.**

January 17, 2005

(1) ROLE OF THE FIXED TERM AND RESEARCH FACULTY

The College of Earth and Mineral Sciences is committed to developing integrated, high-quality programs that address missions in teaching, research, and service. Over the last several decades, the context in which the College operates to build such programs has evolved significantly. Faculty activities and talents are now directed at a substantially expanded set of roles, rights and responsibilities. One outcome of this evolution is the need to hire talented faculty that can focus directly on specific elements of the three part mission of the University. In this manner, the Fixed Term and Research Faculty complement the Tenured and Tenure-track Faculty to achieve the mission of the university on a balanced and continuous basis, in a dynamic and ever-changing academic landscape.

(2) TITLES AND CATEGORIES OF FIXED-TERM NON-TENURE TRACK FACULTY

The categories for titles and appointments reflect a division based on significant differences in duties, appointment process, and evaluation procedures.

CATEGORY 1: CONTINUING, MISSION-DEFINED

I. Research:

Terminal degree and/or substantial relevant experience + advancing reputation:

Research Associate
Senior Research Associate
Senior Scientist

II. Instruction:

Master's degree minimum + experience:

Lecturer
Senior Lecturer

*Terminal degree or significant experience and/or advanced reputation
(proposed):*

Professor of Practice

III. Joint (Research, Teaching and Service):

Ad hoc teaching assignment, terminal degree, advancing reputation:

Dual title, annual designation, adds

Research Associate and Assistant Professor

Senior Research Associate and Associate Professor

Senior Scientist and Professor

On-going, mandated responsibilities, terminal degree, advancing reputation:

Assistant Professor

Associate Professor

Professor

CATEGORY 2: TEMPORARY MISSION-DEFINED

I. Research:

Temporary appointment (Terminal degree)

Post-doctoral Fellow

II. Instruction:

Temporary appointment (e.g. single class, short course) Master's degree and/or experience:

Instructor

Senior Instructor

CATEGORY 3: MISSION-SUPPORTING

I. Research:

Master's degree and/or experience:

Research Assistant

Senior Research Assistant

(2) INITIAL APPOINTMENT

Appointments of Fixed-Term, Non-Tenure Track Faculty will be made by the hiring Department or Institute in accordance with definitions found in HR-21 and this guideline (see Table 1), and written departmental or institute standards.

Research ranks and Instructional ranks are intended for individuals who are engaged primarily in research or teaching respectively, and are always Fixed-Term in nature. A secondary administrative title is feasible.

The awarding of a professorial job title is feasible for individuals engaged in both teaching and research on a fixed-term appointment. However, in cases where someone principally engaged in instruction on a standing appointment becomes involved in research and wishes to be granted a professorial rank, this will be possible only if the individual relinquishes the standing appointment and moves to a Fixed Term I or Fixed

Term Multi-Year appointment type. The professorial ranks are not available for individuals who have been denied tenure but remain at Penn State.

Individuals appointed prior to the implementation of this procedure may opt to grandfather their current arrangement or may change into accord with these guidelines.

Table 1. Appointment

Title	Appointment by*	Concurrence Required From	Policies
<i>Category I: Continuing, Mission-Directed</i>			
Research Associate	HOD or ID	Dean	HR21
Senior Research Associate	HOD or ID	Dean	HR21
Senior Scientist	HOD or ID	Dean	HR21
Lecturer	HOD or ID	Dean	HR21
Senior Lecturer	HOD or ID	Dean	HR21
Professor of Practice	HOD or ID	Dean	pending
Dual – Research Associate and Assistant Professor	HOD**	Dean	HR24, HR21
Dual – Senior Research Associate and Associate Professor	HOD**	Dean	HR24, HR21
Dual – Senior Scientist and Professor	HOD**	Dean	HR24, HR21
Assistant Professor	HOD	Dean	HR21
Associate Professor	HOD	Dean	HR21
Professor	HOD	Dean	HR21
<i>Category II: Temporary Mission-Directed</i>			
Post-doctoral Fellow	HOD or ID		HR21
Instructor	HOD		HR21
Senior Instructor	HOD		HR21
<i>Category II: Mission-Supporting</i>			
Research Assistant	HOD or ID		HR21
Senior Research Assistant	HOD or ID		HR21

*HOD – Head of Department; ID – Institute Director; ** Dual appointments with Institutes will require concurrence between HOD and ID.

(3) PROMOTION OF NON-TENURE ELIGIBLE RANKS

Promotion within non-tenure eligible ranks should normally be made in concordance/conformity with tenure eligible review calendars. Exceptions are allowed with the approval of the department head/institute director and the Dean. Promotions are expected to involve salary adjustment.

Documentation of the candidate's performance is necessary to support a recommendation for promotion. Faculty members in all ranks should prepare an annual Faculty Activity Report, and department heads and institute directors, in accordance with HR-40, "Evaluation of Faculty Performance," should ensure that all non-tenure-eligible faculty members receive an annual performance evaluation. Success in meeting/attaining the conditions of appointment, evaluation and promotion for research and instructional faculty members who are not subject to the provisions of tenure, as presented herein, will be predicated on the institution of a rigorous, comprehensive, and meaningful evaluation process. Such a process would recognize the career status of each FT&R faculty member, and their unique set of responsibilities. FT&R faculty with appointments in more than one Department or Institute, should be considered for promotion by his/her primary appointment unit, with consultation with the other units.

Each department in the Earth and Mineral Sciences will establish a procedure for the review of recommendations for the promotion of non-tenure-eligible faculty members.

A. CATEGORY 1: CONTINUING, MISSION-DEFINED

In all cases for promotion of non-tenure-eligible faculty members with terminal degrees or exceptional experience as defined in these guidelines for Category 1 faculty, ***promotion will involve the appointment of an internal review committee by the Department or Institute and a recommendation from the Department Head/Institute Director to be forwarded to a college-wide committee, and then to the Dean for approval.*** Each unit must determine the nature of the peer review committee. The standards for promotion for non-tenure-eligible faculty are likely to be quite different from tenure-eligible faculty and Departments and Institutes should strive to include representatives from the ranks of non-tenure-eligible faculty when such requests for promotion are considered. Standards for promotion may be guided by a unit's individual discipline-based standards, but should also take into consideration the scope of the faculty member's primary assignment. A definition of the scope of responsibilities must accompany the documentation. Documentation to support a recommendation for promotion may include Faculty Activity Reports, current c.v., and/or other record of participation in activities related to the specific assignment (e.g. grants, SRTEs, peer or student evaluations, etc.), along with the record of recent performance evaluations. Promotion to the highest rank requires external letters of support. In general, for

instructional ranks, progress should include a component of pedagogical accomplishment. Promotion will depend upon excellence in teaching, instructional coordination, advising and other assignments appropriate to these ranks. Progress through the research ranks will focus primarily on productivity and accomplishment in research. For those with professorial titles, a record of accomplishment is expected in multiple areas of assignment. EMS will set up a College-wide committee which is separate from the tenure-track P&T to assess Fixed-Term promotions.

Promotion is performance-based, and may be considered following a minimum of 6 years of service with Penn State and/or another employer within each rank. Time in rank is intended only as a guideline.

Title	From:	To/From:	To:
<i>Category 1: Continuing, Mission-Directed</i>			
Research Titles	Research Associate	Senior Research Associate	Senior Scientist
Instruction Titles	Lecturer	Senior Lecturer	Professor of Practice
Joint Appointment	Assistant Professor	Associate Professor	Professor
Dual Titles (annual basis)	Research Associate and Assistant Professor	Senior Research Associate and Associate Professor	Senior Scientist and Professor

A different title is possible if the individual's assignment changes (e.g. a research position comes to regularly include instructional activities or a dual title assignment shifts to focus entirely on research or entirely on teaching). Alternatively, individuals in any of the terminal degree-level research ranks may be granted a "dual professorial title" on an annual basis in accordance with Penn State Policy HR-24.

CATEGORY 2: TEMPORARY MISSION-DEFINED

Temporary positions do not involve promotion – the assignment of title is based on level of experience and is assigned by the Department Head at the time of temporary and for the duration of the appointment. Individuals in instructor ranks may hold a secondary administrative title within their department (such as Lab Coordinator, Program Officer, Advising Coordinator, etc.). University policies do not allow a secondary professorial title. However, if an individual is expected to engage in both instruction and research, appointment in a professorial rank (as Fixed Term I or Fixed Term multi-Year) may be

more appropriate. Temporary faculty can be appointed in Category 1 should the temporary nature of the position change.

CATEGORY 3: MISSION-SUPPORTING

Promotion in Category 3 is performance-based, and may be considered following 6 years of service at a level equivalent to Research Assistant with Penn State and/or another employer. Documentation to support a recommendation for promotion may include Faculty Activity Reports, current c.v., or other records of participation in activities related to the specific assignment, along with the record of recent performance evaluations. Promotion is determined by the Department Head or Institute Director based on a recommendation, with documentation justifying the request, from the supervising faculty member.

Title	From:	To/From:	From:
<i>Category II: Mission-Supporting</i>			
Research	Research Assistant	Senior Research Assistant	*

*Promotion to the rank of **Research Associate** is possible if the individual earns a Ph.D. or attains equivalent expertise and can provide evidence of excellence in performance.

(4) INFORMATION ABOUT PENN STATE EMPLOYEE POLICIES

<http://guru.psu.edu/policies/>

Note especially:

- HR-5 – Definition of “regular” and “non-regular” employees
- HR-21 – Definition of faculty ranks
- HR-24 – Temporary Professional Dual Titles for Research Rank Faculty
- HR-40 – Evaluation of faculty performance
- HR-36 – Educational privileges for University faculty
- HR-61 – Faculty contracts
- HR-76 – Faculty rights and responsibilities
- AD-29 – Statement on intolerance
- AD-41 – Sexual harassment and consensual relationships
- AD-42 – Statement on nondiscrimination

In addition, the Vice Provost for Faculty Affairs provides guidelines on HR-23 - http://www.psu.edu/dept/vprov/P%20&%20T/promotion_and_tenure.htm and a part-time faculty handbook - <http://www.psu.edu/dept/vprov/part%20time%20handbook.htm>