

I.G. POLICIES CONCERNING ACADEMIC AND ADMINISTRATIVE OFFICERS

(Revised, Office of the Provost, November 21, 2022)

I.G.1. Consultation Procedures for the Election of a President

Article 3.2.b. of the Statutes of the University states: "When it becomes necessary to elect a new President, the Chair of the Board of Trustees shall convene a Consultative Committee, composed of trustees, deans, faculty, staff, and students, to advise in the selection process by identifying priorities, issues, challenges, candidate qualifications, and other factors important to the constituencies represented by the members of the Consultative Committee. The Chair shall also convene a Search Committee, whose members will be selected primarily from among those of the Consultative Committee, to be responsible for the identification, recruitment and selection of candidates for recommendation to the Executive Committee. The composition of and procedures governing the Consultative Committee and the Search Committee shall be specified in a Standing Resolution of the Trustees.

The Executive Committee shall, at a closed meeting, review the report of the Search Committee and shall present a final nomination of one candidate to be voted upon by the Trustees.

At least ten days prior to the stated or special meeting of the Trustees at which the election of the President is proposed, the Secretary shall give to each trustee notice stating that the election of the President shall be held at such a meeting and giving the name of the person who has been nominated by members of the Executive Committee. No such election shall be valid unless a nominee shall receive the affirmative votes of at least two thirds of the number of trustees then in office."

A Consultative Committee to advise the Executive Committee will be formed, chaired by the Chair of the Board of Trustees (or the Chair's designee) and comprised of trustees, faculty, deans, undergraduate students, graduate /professional students, and staff. The size and exact composition of the Consultative Committee will be determined by the Executive Committee, provided, however, that the Consultative Committee shall include in addition to the chair at least four current trustees, four faculty members, one dean, one undergraduate student, one graduate/professional student, and one member of the university staff. The faculty members will be selected by the Faculty Senate Executive Committee in consultation with the Consultative Committee Chair. All other members of the committee will be selected by the Chair.

The Chair will charge the Consultative Committee members with the responsibility for seeking the advice of their respective constituencies on issues relevant to the search process, such as challenges a new president might face, strategic priorities, and recommended strengths and experience for the new President. The Consultative Committee shall meet to discuss and review the recommendations and will provide a summary of its findings to the Chair.

A Search Committee, whose chairman and members will be appointed by the Chair of the Board of Trustees primarily from among the members of the Consultative Committee, will be convened to initiate the search process and review the Consultative Committee's guidance. The size

of the Search Committee will be determined by the Chair of the Board of Trustees, but shall include at least two trustees and two faculty members, and shall not exceed a total of eight members, in addition to the Committee Chairman. The Search Committee will be responsible for the identification, recruitment and selection of candidates to be interviewed, will conduct the interviews of the candidates, and will endeavor to recommend at least three candidates in rank order to the Executive Committee. The Search Committee will keep the Consultative Committee apprised of its progress during the interview process, without disclosing any personal information about particular candidates.

Based on the recommendation of candidates by the Search Committee, the Executive Committee will then present a final nomination of one candidate to the Board of Trustees for approval.

All proceedings of the Consultative Committee, the Search Committee, the Executive Committee, and the Board of Trustees will be confidential and no member of any body will disclose the deliberations to any other person, except as expressly authorized by the Chair in the course of the selection process.

I.G.2. Consultation Procedures for the Appointment and Reappointment of Deans and University-wide Administrators

(Source: *Proposed Consultation Procedures, University Council Steering Committee, Almanac, February 17, 1981*; revised, *Offices of the President and Provost, Almanac, September 15, 1981* (<https://almanac.upenn.edu/archive/v28pdf/n02/091581.pdf>))

The University administration, before recommending the appointment of certain officers, typically seeks the advice of ad hoc committees composed of faculty and students. The offices subject to this practice include all those having a significant influence in academic affairs. While the application of this criterion is clear when positions such as the Provost and deans are in question, it is difficult to draw a precise line of demarcation for subordinate positions or for major administrative posts not directly in academic affairs. This is in part because influence on academic affairs is not an "either/or" question for many of these positions, but a matter of degree which, given the changing nature of the University's problems, is sometimes difficult to gauge in advance. Another complication is that new posts with different titles may be created from time to time.

These procedures take cognizance of these difficulties by providing for consultative input that is graduated according to the degree of influence that a post seems likely to have in the academic life of the University. Thus, where the post is one that involves little direct authority or influence, the consultative process should be informal and should give great scope to the preferences of the administration. For such a position, the appointing officer may consult faculty and student leaders individually about a candidate proposed by the appointing officer. For non-academic appointees whose duties have a more substantial impact on academic affairs or on campus life, consultation may proceed through a small advisory faculty-student committee, which gives advice concerning one or more candidates proposed by the administration. For subordinate academic officers, such an advisory committee may both offer its own suggestions and react to suggestions of the administrator for whom an aide is being chosen. Finally, where the post is one in which major academic authority is exercised, more formal consultative procedures should be followed. In these procedures a consultative committee is established for the purpose of conducting a search and

drawing up a list of recommended candidates. Such a consultative committee receives its charge from the President or Provost and may meet from time to time with one or both of these officers during its deliberations. The committee does not confine itself to suggestions made by the President or Provost. Both advisory and consultative committees make their decisions in executive session.

In selecting members for consultative and advisory committees, consideration should be given to diversity of membership, including affirmative action concerns, range of interests and rank, as well as quality of membership. In addition, the affirmative action policy of the University requires that searches be conducted so as to identify potential candidates from within the broadest possible pool, including women and members of minority groups. Acceptance of appointment to a consultative committee implies a commitment to making such a search, and no one who does not share this commitment should accept appointment to the committee.

Spelled out below are specific consultative procedures for the appointment and reappointment of deans and certain University-wide academic officers, as well as a mechanism—the University Committee on Consultation—for resolving questions regarding the appropriate level of consultation in doubtful cases. Unless otherwise provided, the composition of consultative committees should conform to the principle that “the normal maximum proportion of students on the consultative committee shall not exceed one-quarter of the membership of the committee, except in the case of a consultative committee for offices in the area of student affairs, in which case, the proportion of students shall not exceed one-third of the membership.”

University Committee on Consultation

Where doubt exists about the appropriate level of consultation for any given post that the administration wishes to fill, the President or Provost should seek the advice of the University Committee on Consultation. This committee is composed of the Chair, Past Chair and Chair-Elect of the Faculty Senate and the chairpersons of the Undergraduate Assembly and the Graduate and Professional Student Assembly. The University Committee on Consultation shall respond quickly to the President’s or Provost’s request for an opinion, indicating the nature of the procedure that it recommends. The President and Provost should err on the side of inclusiveness in seeking opinions from the committee.

Consultation for University-wide Academic Offices Provost

When a vacancy has occurred or is expected to occur in the office of Provost, an ad hoc consultative committee composed of twelve faculty members, two undergraduate students, and two graduate or professional students shall be established by the President. The President shall request from the Senate Executive Committee, through its chair, nominations of six faculty members. The President shall appoint to the consultative committee those nominated by the Senate Executive Committee and shall appoint an equal number of other faculty members.

The committee shall meet with the President and/or the Provost for the purpose of obtaining information and views concerning the responsibilities of the position and the qualifications of the person to be sought. The committee may develop additional qualifications in consultation with the President and/or the Provost. The President and/or the Provost shall be free to submit names of candidates at the initial meeting or at any subsequent time prior to the completion of the work of the consultative committee. In the case of a person from outside the University, a consideration of academic appointment in a school

and department will normally be appropriate. If this is the case, the department, school, and administration should act expeditiously.

It is understood that the role of the ad hoc committee shall be an advisory one; the final authority for the appointment rests with the President and the Trustees. In those cases in which the President wishes to appoint a person not considered by the ad hoc committee, the committee shall be asked to review the qualifications of that person and determine if they wish to recommend that person for the position.

Deputy, Associate, and Vice Provosts

With respect to the selection of Deputy, Associate, and Vice Provosts, more flexibility in the consultative arrangements is appropriate, depending on the particular circumstances at the time the vacancy exists. It is also necessary to ensure that the Provost have aides in these posts with whom the Provost can establish a close personal rapport. Before an ad hoc committee is appointed, the Provost should consult with the University Committee on Consultation regarding the appropriate size for the committee, the relative proportion of faculty, undergraduate and graduate or professional students to serve on the committee, the extent of the search to be undertaken, the timing of the appointment, and similar questions.

Appointment of Deans, Associate Deans and Vice Deans

The Statutes of the Corporation (10.4) state that the Dean shall be appointed or removed by the Trustees, upon recommendation by the President and the Provost, and according to policies and procedures promulgated by the President and Provost.

When a vacancy has occurred or is expected to occur for a dean of a faculty, the Faculty concerned, by its own procedures, shall nominate to the President four members of its own faculty. The President shall appoint those four persons and shall also appoint four other faculty members to a committee to nominate a new dean. The President shall also appoint two students from that school of whom one shall be an undergraduate if the school has an undergraduate as well as a graduate program. These students shall be nominated by the students according to their own procedures. When appropriate, the President may designate one or two alumni advisers to the committee. In special circumstances or where the faculty of the school is very small, exceptions to the numerical limitations above may be made. The committee shall meet with the President and/or the Provost for the purpose of obtaining information and exchanging views concerning the responsibilities of the position and the qualifications of the person to be sought. The final appointment of a dean is made by the Trustees upon the recommendation of the President of the University. In the case of a person from outside the University, a consideration of academic appointment in the school concerned will normally be appropriate.

In the selection of associate deans and vice deans, the dean of a Faculty should seek advice from the school’s faculty and student body. Should doubts or issues arise about the procedure for obtaining such advice, guidance should be sought from the University Committee on Consultation.

Renewals of Terms of Office

Provost

The initial term of office of the Provost shall be no longer than seven years and the total length of service normally no more than twelve years. If, when the initial term of the Provost expires, the President favors the continuation of the Provost in office, the President shall determine whether the incumbent is willing to accept further service. If a reappointment or extension is contemplated by the President, the

President, with the advice of the University Committee on Consultation, shall appoint an ad hoc committee to ascertain and report on faculty and student opinion, and advise the President with respect to the proposed reappointment or extension.

Deans

Deans shall normally serve no more than twelve years with an initial term of no more than seven years. A consultative review committee shall be established in the sixth year of the initial term of a deanship if a reappointment (i.e., an extension of more than two years) is contemplated. The Faculty of the school shall choose four of its own members for this committee, to be matched by up to an equal number chosen by the President and the Provost, who will make sure that there are faculty representatives from within the University but outside the school. Students will select two student members from the student body of the school, one of whom shall be an undergraduate if the school has an undergraduate as well as a graduate program. There will be one non-voting alumni representative. The consultative committee will advise the President and the Provost on the desirability of reappointment. In addition, each member of the Standing Faculty of that school shall have the opportunity to give advice and views to the President and the Provost. The President and the Provost will consult as well with knowledgeable colleagues and officials of the school. When the school has been recently reviewed by an outside accreditation organization or by some other means, the findings will be considered pertinent in the decision whether to recommend reappointment.

A school or the President and the Provost are free to propose another consultative path for the reappointment of a dean after an initial term, but any such alternative path would require the concurrence of the appropriate elected committee of the school involved, of the President and Provost, as well as review by the University Committee on Consultation.

If an extension for only one or two years is proposed, the Provost may constitute a faculty and student committee by inviting faculty and student members currently holding elective office, such as members of the school's academic freedom committee, University Council representatives, or members of the school's council (where such an elective body exists), to serve on a consultative body.

Removal of a Dean

(Source: *Offices of the President and Provost, Almanac*, September 5, 1995 (<https://almanac.upenn.edu/archive/v42/n2/handbook.html>))

The procedure for the removal of a dean prior to the expiration of the dean's term may be initiated by the President and the Provost. It may also be initiated by a faculty vote of no confidence taken at a meeting in accordance with the bylaws of the school. The vote of no confidence must be confirmed by a majority of the Standing Faculty in a subsequent mail ballot. In either case, the Provost shall appoint, in consultation with the Senate Committee on Consultation, an advisory committee of at least five faculty members, a majority of whom shall be from outside of the school. The committee shall be charged by the Provost and the President to gather information relevant to the issues specified in the charge, including interviews with the faculty and dean. The committee shall forward its recommendations, with supporting documents, to the Provost, the President, and the dean, within four weeks of its appointment. The committee shall report its recommendations to the faculty of the school.

Appointments of Acting Administrators

When there is a need to appoint a person to occupy a position temporarily, the University Committee on Consultation and, in the case of

a school administrator, the appropriate elected school committee, should be consulted. The University Committee on Consultation may, according to the circumstances, decide to propose other arrangements to insure adequate consultation.

Reports about Searches

In the case of a University-wide post, the President and the consultative committee, before its discharge, shall submit a final report to the University Council, the Faculty Senate, the Undergraduate Assembly and the Graduate and Professional Student Assembly, and shall publish the report in *Almanac*. The report shall include, but not be limited to, the following:

1. The nature of the search, including goals and objectives;
2. The consensus on policy issues;
3. A copy of the job description and/or advertisement, if any;
4. Information concerning the candidates, including:
 - a. Characteristics of the individuals (such as ethnic background, sex, etc.),
 - b. Number of names considered,
 - c. How many candidates were from within the University,
 - d. Specifically, was the person selected to fill the position, if it was filled, recommended by the consultative committee, and
 - e. Any additional relevant information.

Should there be disagreement between the President and the consultative committee, separate reports should be submitted.

In the case of the election of a new dean, the ad hoc committee shall submit a report along similar lines to the faculty and the students of the school involved. The report or a summary of it shall be published in *Almanac*.

Confidentiality on Search Committees

Confidentiality of much of the material handled during a consultation is essential to the process. Acceptance of appointment to a committee entails full acceptance of the conditions of confidentiality as follows: the name, background, personality and character of any candidate and the proceedings of the committee shall be maintained in strictest confidence by all members of the committee and by administrative personnel who have access to the names. This principle, of course, does not preclude the revelation of names of candidates in officially authorized efforts to obtain outside appraisals.

The committee shall have the option to keep confidential any other items it deems necessary for its functioning by roll call vote requiring a two-thirds majority of the committee members present and voting. Each letter of appointment to an advisory or consultative committee should make plain the obligation to maintain confidentiality, and the chair of the committee shall remind the members of this obligation. Anyone who cannot accept those conditions should be asked by the chair to resign or, failing this, should automatically be removed from membership of the committee.

Administrative Support for Search Committees

Administrative and secretarial assistance shall be provided to advisory and consultative committees for deans and University-wide administrators.

I.G.3. Appointment of Department Chairs

(Source: *Offices of the President and Provost, Almanac, October 18, 1977; revised, 1983*)

All department chairs are appointed by the President upon recommendation of the Provost and the Dean and with the advice of faculty both inside and often outside the department. Responsibility for initiating the appointment of a new department chair and the charge to any nominating/search/selection body, including criteria and number of persons to be recommended, rests with the Dean. The Dean should state from the outset whether there is available a position in the Standing Faculty to allow consideration of external candidates. The means by which nominations are secured and reviewed will vary from school to school, but should be regularized and clearly stated for each school.

In all cases, the Dean should play an active role, either as a participant in the departmental review, or by requiring two or three names from which to choose. A change in department chairs should normally be preceded by a review of the direction, quality, and plans of the department. Such a review may be initiated by the Dean, Provost, President, or members of the department and should be planned cooperatively by all parties. Reviews with external evaluators should take place as a matter of course in departments at regular intervals, but preferably at such times as to be helpful to new departmental leadership.

A recommendation for appointment as a department chair takes the form of a letter from the Dean to the Provost, accompanied by a current curriculum vitae of the nominee and other information about the selection process, including names of others considered. The letter should set forth the proposed period of appointment (most often five years, renewable, but may be less and occasionally more according to prevailing school practice). The letter is sent to the Provost, who will transmit it to the President for final approval and preparation of the appointment letter.

I.G.4. Responsibilities of Department Chairs

(Source: *Offices of the President and Provost, 1969 Handbook for Faculty and Administration; revised, 1979*)

To the Administration

It is the responsibility of the department chair to execute within the department the policies of the University concerning teaching and research, fiscal affairs, and other administrative business.

The chair has the responsibility, after consultation with appropriate members of the department, for securing and retaining staff and faculty members of high caliber and recommending those to whom tenure should be granted and to whom promotions should be awarded. It is the duty of the chair to submit departmental recommendations in these matters, including the names of those consulted, to the administration for consideration, and a separate statement giving the chair's personal opinion.

The chair is responsible, after conferring with faculty and students, for ensuring the appropriateness of the courses and adequacy of the program offered by the department in accord with educational policies established by the faculties concerned. The chair should have the courses staffed so as to promote teaching that is as effective and stimulating as possible in content and in presentation.

The chair has a general responsibility for promoting the quality of the scholarly and research activities of the department. The chair reviews applications for research projects for appropriateness and transmits those approved to the administration, making sure that the human, fiscal, and space demands of all such projects are in the best interests of both the department and the University as a whole.

To the Department

The chair is the department's executive officer. In aid of the development and maintenance within the department of collegial respect for the educational enterprise, the chair is responsible not only to the dean but also to the department as a collectivity for the conduct of its affairs. The chair is responsible for the administration of its teaching, academic advising, and research functions and also the implementation of its policies.

The chair has the obligation to foster the welfare of the department's entire staff and to encourage and facilitate their work and professional development. The chair should take the initiative in reporting the needs and championing the legitimate causes of the department to the Dean. The chair carries the basic responsibility for obtaining merited recognition by the University for the department's staff members with respect to promotions, and for making recommendations concerning faculty salaries and salary increases to the Dean and Provost, who supervise this area. Each faculty member has the right to discuss with the chair that faculty member's own salary, status, requests for academic leaves, and applications for research projects. If the faculty member is dissatisfied after consultation with the chair, the faculty member may discuss these matters with the Dean.

I.G.5. Appointment and Responsibilities of Graduate Group Chairs

(Source: *Offices of the President and Provost, Almanac, October 18, 1977; revised, Office of the Provost, 1983; revised, Office of the Provost, Almanac, March 19, 1996* (<https://almanac.upenn.edu/archive/v42/n24/grad.html>))

The chair of a graduate group is charged with the responsibility of leading and coordinating the work of the graduate group faculty in the discharge of their responsibilities. This is an important task requiring academic and personal abilities of a high order.

Graduate group chairs are appointed by the Provost upon recommendation of the appropriate dean or deans and other appropriate officials such as the Associate Provost for Education. The letter from the Dean to the Provost transmitting the recommendation should refer to the selection process (e.g. department chairs and other deans consulted, procedure for self-selection by the graduate group) and the proposed term of appointment (generally three to five years, renewable).

In cases where a graduate group is based in an academic department, the graduate group chair reports to the department chair and may carry a title such as "Associate Chair for Graduate Affairs." In all other cases, the graduate group chair reports directly to the appropriate dean or delegate. (The latter may carry a title such as "Associate Dean for Graduate Studies and Research.") The Dean determines the appropriate reporting channel.

I.G.6. Reappointment of Department and Graduate Group Chairs

(Source: *Office of the Provost, Almanac, September 7, 1982* (<https://almanac.upenn.edu/archive/v29pdf/n02/090782.pdf>))

The following procedures shall guide the reappointment of department and graduate group chairs.

1. No department chair shall be reappointed under circumstances such that their total term shall exceed six years unless a review of their performance is made. Ideally this review should be combined with a review of the department, since an evaluation of an incumbent chair inevitably involves an evaluation of the department's evolution during the chair's tenure.

In the event that a full-scale review of the department is untimely or particularly inconvenient when a reappointment is being considered, a review committee, chosen by whatever formal mechanisms have been adopted by the school or department and accepted by the Dean, should be convened to evaluate the chair's performance and recommend appropriate action to the Dean. In the event the department has no formal procedures, the following procedures should be used:

The review committee will consist of three faculty members selected by the tenured faculty in the absence of the chair, one untenured faculty member (if any exist), and two other faculty members, who may be from other departments or schools, selected by the Dean. The chair of the review committee will be selected by the Dean from among the six (or five) members. Total service in excess of twelve years as chair should be rare and should not occur in the absence of compelling reasons. Exceptions to this limit should be approved in advance by the President and Provost after consultation with the Chair, Chair-Elect, and Past Chair of the Faculty Senate.

2. Where graduate groups are generally based within a single department, the graduate group chair will either be the department chair, in which case the above procedures apply, or report to the chair, in which case independent review mechanisms are not necessary. However, when the graduate group is not based within a single department, the guidelines below should be followed.

No graduate group chair shall be reappointed under circumstances such that their total term shall exceed six years unless a review of their performance is made. Ideally, this review should be combined with a review of the graduate group, since evaluation of an incumbent graduate group chair inevitably involves an evaluation of the group's evolution during the chair's tenure. In the event a full-scale review of the graduate group is untimely or particularly inconvenient when a reappointment is being considered, a review committee, chosen by whatever formal mechanisms have been adopted by the graduate group and accepted by the relevant dean or deans, should be convened to evaluate the graduate group chair's performance and recommend appropriate action to the dean or deans. In the event the group has no formal procedures the following procedures should be used:

The review committee shall consist of three faculty members selected in the absence of the chair by the tenured faculty members of the group, one untenured faculty member (if any exist) selected by the untenured faculty members of the group, and two other faculty members, who may be from other groups or schools, selected by the dean or deans. The chair of the review committee will be selected by the dean or deans from among the six (or five) members.

Total services in excess of twelve years as graduate group chair should be rare and should not occur in the absence of compelling reasons. Exceptions to this limit should be approved in advance by the President

and Provost after consultation with the Chair, Chair-Elect, and Past Chair of the Faculty Senate.

(See page 3 - Almanac, September 7, 1982 (<https://almanac.upenn.edu/archive/v29pdf/n02/090782.pdf>))