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Passed by A&S Faculty in May 2016

RULES AND PROCEDURES FOR FACULTY APPOINTMENTS, RENEWALS,
PROMOTIONS AND TENURE IN THE COLLEGE OF ARTS AND SCIENCE
VANDERBILT UNIVERSITY

Preface:

The Vanderbilt University *Faculty Manual* contains rules and procedures for appointments, renewals, promotions, and tenure in the University. The rules and procedures of the College of Arts and Science (hereafter referred to as the College) must be consistent with the general principles described in the *Faculty Manual* and should be so interpreted (see the *Faculty Manual, Part II, Chapter 3, Section C.4*).

In support of academic quality and individual rights, the Faculty of the College of Arts and Science affirms its conviction that the work of faculty members should be judged by those of their colleagues who are best qualified to do so, and that the policies, criteria, standards, and procedures used in judgment should be made clear to all. Tenure should be awarded to faculty members who have shown themselves worthy of it during a probationary period. All instructional (lecturers, senior lecturers, and principal senior lecturers), tenure-track, tenured, and research appointments to the faculty must be awarded under clearly specified criteria. Such policies will help the College to attract and keep the best possible faculty, and will enable that faculty to work in relative freedom from destructive pressures and uncertainties. The paragraphs that follow outline these policies and their implementation.

I. INTRODUCTION

A. Bases of Judgment:

1. The excellence of the College and the rights of individuals require that, in matters of appointment, renewal, promotion, and tenure, members and prospective members of the faculty be judged solely on the basis of recognized academic criteria and standards that pertain to professional qualifications and conduct, and that they be evaluated by fair and established procedures.
2. Recommendations relating to appointment, renewal, promotion, and tenure must meet the following tests:
 - a. They must not violate the rights of faculty members, nor punish the exercise of those rights.
 - b. They must not violate the academic freedom of faculty members, nor

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punish the exercise of that freedom in either the University or the larger society.

- c. They must represent the deliberate exercise of professional judgment; they must not be arbitrary or capricious.
3. Permissible reasons for non-renewal or non-promotion include, but are not limited to, the following.
 - a. The candidate's failure to meet the College's stated standards for reappointment or promotion.
 - b. Termination of the position because of financial exigency or a major change in academic program. In each case of this type, the decision to terminate the position must be justified by the department or Dean of the College of Arts and Science (hereafter referred to as the Dean) on grounds independent of the individual candidate's qualifications.
 - c. The appointment is for a specified term.

B. Authorization of Academic Positions:

1. When seeking authorization for a formal search for a person to fill a faculty position, the department chair or program director, after appropriate consultation with his or her respective faculty, submits to the Dean a statement describing and justifying the position. In the request, the chair or program director indicates how faculty opinion was sought and states the nature and extent of dissenting opinions.
2. The procedure for changing the description of a position shall be the same as that set forth in B.1. All persons appointed should possess the academic competence and accomplishments called for in the description of the position to be filled.
3. University criteria for authorization of positions are specified in the appropriate section of the *Faculty Manual*.

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II. TENURE-TRACK AND TENURED APPOINTMENTS

The specific policies, criteria, standards and procedures for tenure-track and tenured appointments are stated in this section.

No sequence of appointments in a tenure-track position will exceed a total of eight years, including previous service, unless an extension of the probationary period has been granted by the College. The College has a policy of an initial appointment of four years, followed by a final appointment of four years. The length and number of appointments can be appropriately modified to account for previous service or extensions of the probationary period or as the result of evaluation of progress in research and teaching. Departments and programs may recommend reappointment periods shorter than the standard number of years. The Dean may respond to a recommendation with an appointment that is shorter than the recommended appointment. The renewal that would bring a candidate to the maximum probationary period shall be granted only if the candidate is making progress toward tenure as described in II.B.1. The terms and conditions of every appointment to the faculty, including extensions, modifications, and notices incumbent on either party, shall be stated in writing, with a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of appointment shall be stated in the letter of appointment. It is particularly important that letters of appointment indicate clearly the areas of research to be pursued by appointees, particularly when they are not traditional for the discipline or the department. Primary appointments at the Assistant, Associate, or Full Professor level will be made in a single department or, in unusual circumstances, in a single program. Joint appointments may be made in two or more units (departments or programs), one of which will be designated as the administrative home.

Joint appointments may be made at the time of initial appointment, or at a time past initial hiring. The joint appointment must be approved by a majority vote of eligible voters in each unit, by each unit's chair and/or director, and by the Dean of A&S. Joint appointments between A&S units and other Vanderbilt colleges are also possible, subject to approval by the A&S unit(s), the A&S Dean, and the non-A&S entity, according to its procedures. Faculty members holding joint appointments are voting members, according to rank, in all units, with privileges and responsibilities in each. Each unit must agree to the allocation of responsibilities for teaching, advising, and departmental service in each department or program at the time the joint appointment is created, and the allocation must be approved by the Dean. Each jointly appointed faculty member will have a designated administrative home, which will take responsibility for the faculty member in administrative matters (e.g., initiating reviews/promotions). Jointly appointed faculty members may not hold different ranks in different A&S units.

A. Criteria and Standards:

1. For appointment or promotion to the rank of Assistant Professor, candidates should show promise of achieving a level of excellence in research, scholarship, or creative expression appropriate to their discipline. They should show promise of effective teaching. Appointment to the rank of Instructor is reserved solely for

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rare appointments to a tenure-track position of a candidate who has not yet completed all requirements of the appropriate terminal academic degree for the tenure-track position. These one-year appointments as Instructor are counted as part of the original four-year appointment on the tenure track.

2. For appointment or promotion to the rank of Associate Professor, judgments should be based on performance in research, teaching, and other kinds of intellectual and academic service. Excellence in all of these areas is desired. Excellence in research, scholarship, or creative expression is required. A high level of effectiveness in teaching is required. Satisfactory performance of service to the University and/or to professional and learned societies is required. Statements outlining the kinds of departmental criteria should be available to the candidates.
3. For appointment or promotion to the rank of Professor, the College expects the level and quality of achievement in research, scholarship, or creative expression and teaching required of professors in corresponding units at other leading major research universities. The candidate must have attained national or international recognition among leading scholars in his or her discipline for sustained and excellent research, must have taught the assigned courses at a consistently high level of effectiveness, and must have demonstrated a well-developed and recognized record of service both to the University and his or her discipline.
4. For appointment to Named, Centennial, Chancellor's, University, or Distinguished Professorships, candidates must be scholars of exceptional national and international stature.
5. Joint appointments recognize demonstrated faculty interest and competence in core areas of scholarship and teaching associated with more than one unit. When joint appointments are made at a time later than the initial appointment, they may recognize, among other things, the evolution of a faculty member's research interests or teaching profile.

B. Renewals and Promotions Procedures:

1. Tenure-track appointments are for fixed terms of four or fewer years. Letters of appointment shall specify the duration of such appointments and shall state any exceptions to the general policy for renewals outlined below. The tenure-track term appointments outlined in this section potentially lead to tenure. Tenure-track faculty members should be recommended for reappointment only if their performance provides a reasonable basis on which to project continued progress that may ultimately enable them to qualify for tenure. Faculty members who are on one-year appointments normally receive notice of renewal by March 1. Those who are on longer appointments normally receive notice of renewal by June 1 of the penultimate year of the appointment.

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2. One-year appointments at the Instructor level may be renewed once or twice, or, in extraordinary circumstances, three times.
3. The procedure for renewal of an initial multi-year appointment (usually an Assistant Professorship) is as follows:
 - a. During the third year, the department, program, or *ad hoc* review committee shall make a review of the candidate's performance as a scholar and teacher. This review shall employ all relevant criteria, standards, and procedures.
 - b. Participants in the review and discussion shall be those members of the faculty who are entitled to vote on the renewal or termination of the appointment. In instances where there are fewer than five eligible voters, an *ad hoc* review committee, including the chair of the committee, will be appointed by the Dean or the Dean's designee in consultation with the chair of the department or program director (refer to Section D. Voting). The department chair or program director will chair the *ad hoc* review committee, except in cases where he or she is not of the appropriate faculty rank (e.g. a department chair who is an associate professor cannot serve on an *ad hoc* review committee that is evaluating a candidate for promotion to full professor). In such instances, another faculty member of appropriate rank who holds a primary appointment in or is closely aligned with the department or program will be appointed as chair of the *ad hoc* review committee by the Dean or the Dean's designee. The *ad hoc* review committee will follow all relevant procedures in conducting a review and will convey its findings to the Dean. In instances involving the reappointment of jointly appointed faculty, reviews will be initiated by the faculty member's administrative home. A single *ad hoc* review committee will be appointed by the Dean or the Dean's designee to conduct the work of each review and will be constituted by an equal representation of members from each unit. The review committee will report to the units, and the eligible voters in each unit must vote on the reappointment, with each unit's vote conveyed in a letter from the unit chair or director for inclusion in the file.
 - c. If the review in the third year results in a decision by a majority of the eligible voters that the candidate's performance in research, in teaching, or in service is below expectations of a person at this stage of her or his career, the department, program, or *ad hoc* review committee shall recommend that the appointment not be renewed. (The procedures for notifying the candidate of this decision are specified in Section E.) Otherwise, the department, program, or *ad hoc* review committee shall recommend that the appointment be renewed.

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- d. If the third-year review results in a decision by a majority of the eligible voters that the candidate's performance in research, in teaching, and in service meets or exceeds expectations for a person at this stage of her or his career, the department, program, or *ad hoc* review committee then shall recommend an extension, normally for four years beyond the four years already authorized. Otherwise, the department, program, or *ad hoc* review committee shall recommend that the appointment not be renewed. (The procedures for notifying the candidate of this decision are specified in Section E.)
 - e. The above schedule of reviews and decisions may be shortened if the candidate has already served on a faculty before coming to Vanderbilt or if the department, program, or *ad hoc* review committee believes that the candidate is so outstanding as to merit tenure before the end of the probationary period. The probationary period may be lengthened only if the candidate is carrying a partial load or if in conformity with University policies on extensions (see the *Faculty Manual*).
 - f. These terms are stated as a normal model of an eight-year sequence of academic-year appointments. If the tenure period begins on a schedule other than the academic year or includes previous service to be counted against the normal period, or if the probationary period or schedule for evaluation is altered for other reasons, the specific applicable dates for review will be established as approved in appointment letters and in letters stating approved changes to the tenure-evaluation timing.
 - g. The timeline for recommendations for reappointments as outlined in Section II, paragraph 2, should be viewed as maximum terms. When appropriate, departments, programs, or *ad hoc* review committees may recommend terms shorter than those stated above. The Dean may respond to a recommendation with an appointment that is shorter than the recommendation of the department, program, or *ad hoc* review committee.
 - h. Appeals of recommendations on reappointments will follow University policies (see the *Faculty Manual*).
4. Promotion to Associate Professor: During or before the penultimate year of a non-tenured appointment on the tenure track, the department chair, program director, or *ad hoc* review committee shall assemble a personnel file and initiate procedures leading to an evaluation of the candidate for tenure. See Section C, below for instruction on assembling this file.
 5. Promotion to Professor: There is no specified timeframe for this promotion. Departments, programs, or *ad hoc* review committees are responsible for

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regularly determining which members are eligible for a full external review. However, upon a candidate's request, a full external review will take place.

C. Documentation and Procedures for Tenure-Track and Tenured Personnel Decisions:

1. For each personnel decision involving someone already on the College faculty, a file shall be prepared containing the following items (for decisions involving off-campus candidates, as many of the items as possible shall be provided):
 - a. An inclusive curriculum vitae and a description of the candidate's current work and future plans prepared by the candidate;
 - b. A description of the candidate's role and function within the department and/or program in consultation with the candidate and other members of the department and/or program;
 - c. All of the candidate's publications, and reviews of those publications as are available and appropriate; any unpublished materials that the candidate wishes to submit; and any written evaluations of these materials by members of the department and/or program;
 - d. Evaluations of teaching by members of the department and/or program and by graduate and undergraduate students, or evidence concerning the candidate's teaching in other institutions;
 - e. For promotion to Associate Professor or Professor, at least three letters solicited by the chair, program director, or *ad hoc* review chair from a list suggested by the candidate of at least six qualified reviewers outside the University, and at least three letters from qualified reviewers outside the University chosen by the chair, program director, or *ad hoc* review chair in consultation with those department and/or program members whose fields are closest to those of the candidate. The list of potential external reviewers shall be submitted to the Dean or the Dean's designee for comment and concurrence. Letters requesting evaluations should be designed to elicit objective judgments; copies of the letters or email messages seeking evaluations and all written and electronic responses shall be included in the file;
 - f. Such written comments as may be offered by members of the department and/or program, whether or not the comments were solicited by the chair and/or program director.
2. The personnel file shall be circulated to all members of the department, program, and/or *ad hoc* review committee who are eligible to vote, and only to those members. The vote shall be taken at a meeting after all materials in the file have

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been considered. Materials would include all solicited and unsolicited materials and letters submitted before the meeting, including relevant letters of evaluation and recommendations submitted from outside the department and/or program within the University.

3. The recommendation shall provide a summary that reflects the full range of discussion by the tenured faculty about the candidate's qualifications. The summary will be in the form of detailed minutes of the meeting. The recommendation shall indicate whether there was a division of opinion and shall describe the nature and extent of the disagreement. The recommendation shall record the vote or votes on the candidate's qualifications and the department's and/or program's recommendation or the recommendation of the *ad hoc* review committee. The summary must be made available to all eligible faculty before the file is forwarded to the Dean. Within two working days after eligible faculty are notified that the summary is available, they may make responses which shall be included in the file. Such responses must be made available to all eligible department or program faculty members or *ad hoc* review committee members.
4. To the file shall be added an independent, confidential recommendation addressed to the Dean by the chair of the department and/or director of the program or the chair of the *ad hoc* review committee.
5. Each candidate for renewal and promotion has such right of access to his or her personnel file as is provided by faculty legislation. This right does not include access to solicited letters of recommendation or to other confidential evaluations of the candidate, such as the confidential recommendation described in II.C.4.
6. Evaluations shall be collected from appropriate chairs and program directors concerning any candidate's research or teaching that is shared with other schools, departments, research centers, or interdisciplinary programs.
7. Each department or program shall develop a standard procedure for obtaining student evaluations of candidates for renewal and promotion. Such evaluations will normally include regular course evaluations made in accordance with faculty legislation and University requirements, and evaluations prepared by graduate and undergraduate majors. Appropriate peer reviews of instruction may be obtained.
8. In the event of a negative recommendation on tenure by a department, program, and/or *ad hoc* committee, the decision is automatically reviewed by the Dean within ten working days after receipt of the file. The candidate is informed in writing by the chair, director, or chair of the *ad hoc* review committee of the recommendation within a working day and has the right (within two working days of being informed of the negative recommendation by the chair, program director, or chair of the *ad hoc* committee) to add a letter to the file which will automatically be reviewed within ten working days by the Dean who may (a)

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accept the negative faculty decision, thereby ending the matter, or (b) return it to the faculty of the department, program, or *ad hoc* review committee for reconsideration.

9. If the Dean does not concur with a department's, program's, or *ad hoc* review committee's positive recommendation on promotion, appeal of the Dean's decision to the University Promotion and Tenure Review Committee requires the affirmative vote of a least two-thirds of the tenured faculty who were eligible to participate at the time of the original vote, must be made within ten business days (not including vacation periods) after receiving a written report from the Dean describing the rationale for the decision, and is directed to the University Promotion and Tenure Review Committee (PTRC). The candidate must be informed by the department/program within one (1) business day of the outcome of its decision on whether or not to appeal a Dean's nonconcurrence. In the case of an *ad hoc* review committee, at least four of the five members must vote in the affirmative. The appeals procedures limit the committee's review to documentation included in the personnel file at the time of the Dean's decision.
10. When an appointment is made from outside the University, all full-status tenured and tenure-track members of the department or program shall have the opportunity to participate in deciding which candidates are to be invited to visit the campus. A department or program may choose to have a preliminary screening done by a review committee, which may comprise both tenured and non-tenured members of the department's or program's faculty.
11. The Dean is advised by the Arts and Science Advisory Review Committees regarding renewal, promotion, and tenure files. The Committees do not vote, nor do they make recommendations for action to the Dean. They serve at the Dean's request to provide a forum for discussion of each file as presented by the department/program. Files will normally be considered by the Junior Advisory Review Committee (JARC) if the case involves third-year review and by the Senior Advisory Review Committee (SARC) if the case involves tenure and/or promotion. Both of these committees will be constituted anew each year and will include at least two members from each Division (Humanities, Social Sciences and Natural Sciences) with equal representation for each Division. *Ad hoc* members of both Advisory Review committees include the Arts and Science Deans and Senior Associate Deans, assuming each is of the appropriate rank.

D. Voting:

1. Recommendations for appointments carrying tenure are to be voted upon only by tenured members of the department, program, and/or *ad hoc* review committee. Tenured joint appointments are to be voted upon only by tenured members of the identified departments and/or programs sharing the appointment. Subject to this limitation, in cases of renewal or promotion to Associate Professor or Professor,

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all tenured members of the department and/or program having rank higher than the present rank of the candidate are eligible to vote. In cases of tenured appointments from outside, all tenured members of the department, program, and/or *ad hoc* review committee are eligible to vote. In cases of non-tenured appointments from outside, all full-status tenured and tenure-track members having a rank at least as high as that of the vacant position are eligible to vote. In each case the department, program, and/or *ad hoc* review committee shall secure and transmit to the Dean from both its voting and non-voting members such information and comments about the case as the members wish to provide.

2. Departments having fewer than five (5) faculty members eligible to vote on initial appointments, renewals, and promotions will be supplemented by an *ad hoc* review committee appointed by the Dean in consultation with the department chair and composed of tenured Vanderbilt faculty at the appropriate rank. This five (5) person committee will comprise the eligible tenured faculty of the department plus the requisite number of outside faculty of appropriate rank with fields of scholarship closely aligned with those of the candidate to be appointed, renewed, or promoted. These committee members will take part in the review and promotion process and represent the best interests of the department.
3. For renewals or promotions in the department of a candidate who has an important commitment to a program (but not a joint appointment), the Dean, in consultation with the department chair and program director, will appoint an *ad hoc* review committee composed of tenured Vanderbilt faculty at the appropriate rank. This five (5) person committee will comprise three (3) eligible tenured faculty members of the department plus two (2) faculty members of appropriate rank with fields of scholarship closely aligned with those of the candidate to be appointed, renewed, or promoted. If the department has fewer than three (3) eligible tenured faculty members, the deficit will be covered by faculty of appropriate rank with fields of scholarship closely aligned with those of the candidate to be appointed, renewed, or promoted. In each situation, these committee members will take part in the promotion process and represent the best interests of the department.
4. For initial primary appointments, renewals, or promotions in a program, the voting faculty will consist of all faculty members having primary appointments in that program, subject to the same restrictions on the rank of voting members as those given in II.D.1.
5. Programs having fewer than five (5) faculty members eligible to vote on initial appointments, renewals, and promotions will be supplemented by an *ad hoc* review committee appointed by the Dean in consultation with the program director and composed of tenured Vanderbilt faculty at the appropriate rank. This five (5) person committee will comprise all the eligible tenured faculty of the program plus the requisite number of outside faculty of appropriate rank with

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fields of scholarship closely aligned with those of the candidate to be appointed, renewed, or promoted. If the program has fewer than three (3) eligible tenured faculty members, the deficit will be covered by faculty of appropriate rank with fields of scholarship closely aligned with those of the candidate to be appointed, renewed, or promoted. In each situation, these committee members will take part in the review and promotion process and represent the best interests of the program.

6. Recommendations for appointment to a Distinguished Professorship or to a Named Professorship are to be voted on by all tenured and tenure-track members of the department or program. In each case, the department or program shall secure from its non-voting members such information and comments about the case as they wish to provide.
7. Voting on personnel matters may be by a show of hands or by secret (written) ballot, but must be by secret ballot if any voter requests it. A secret ballot can contain no identifying information.
8. Policies on voting, quorum, and absentee voting shall be adopted by vote of tenured and tenure-track members of the department. These rules, which must be congruent with the *Faculty Manual* and this document, shall be filed with the Dean's Office and be available to candidates. Rule changes must be reviewed and approved by the Dean the year before they are put into effect.
9. Where voting is referred to in these rules and procedures, a simple majority of those eligible to vote shall prevail except in decisions to appeal, which require a two-thirds vote of the faculty who were eligible to vote on the original recommendation (or four of five members of an *ad hoc* review committee). Majority votes are calculated on the number of eligible voters. The number of those eligible to vote is established by the number of faculty members who hold positions in the appropriate categories.
10. Any vote to appeal must occur after the eligible voters review the response of the Dean; it never can occur in the same meeting as the original recommendation.
11. Voting participants in recommendations involving appointments, reappointments, renewals, and promotions must maintain strict confidentiality. They must not talk about renewal and promotion discussions and decisions except with those persons who also vote on such decisions. Only the chair or program director speaks for the faculty about appointments, promotions, and renewals, including all communication with the candidate.

E. Recommendation and Notification:

1. Each department, program, or *ad hoc* review committee recommendation

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concerning appointment, renewal, or promotion shall be forwarded in writing to the Dean for action, together with the complete personnel file containing a detailed statement of the reasons for the decision.

2. Recommendations for promotion to Associate Professor or Professor, if approved by the Dean, are forwarded to the University Promotion and Tenure Review Committee. Recommendations for Named, Centennial, Chancellor's, University, or Distinguished Professorships, if approved by the Dean, are advanced directly to the Provost. A recommendation moves forward only with the approval of the Dean except when a department, program, or *ad hoc* review committee appeals a Dean's non-concurrence. (Please see Part II, Section C, #9 of this document for details on the appeal process.)
3. In the event of a negative recommendation on a personnel matter by the faculty of the department, program, or *ad hoc* review committee, the candidate has the right (within two working days of being informed of the negative decision by the chair, program director, or chair of the *ad hoc* review committee) to add a letter to the file which will automatically be reviewed within ten working days by the Dean, who may (a) accept the negative faculty decision, thereby ending the matter, or (b) return it to the faculty for reconsideration. If the original negative recommendation is reaffirmed by the faculty, the Dean, if he or she favors positive action, may send a positive recommendation forward to the University Promotion and Tenure Review Committee. Except in the case of a negative decision by both the department, program, or *ad hoc* review committee and the University Promotion and Tenure Review Committee, the Dean may appeal a negative decision by the Promotion and Tenure Review Committee to the Provost.
4. In cases of a joint appointment in which one department/program offers a recommendation for tenure or promotion and the other offers a negative recommendation, the candidate has the right (within two working days of being informed of the negative decision by the chair, program director, or chair of the *ad hoc* review committee) to add a letter to the file which will be reviewed within ten working days by the Dean, who will determine whether to send a positive recommendation forward to the University Promotion and Tenure Review Committee. The Dean may appeal a negative decision by the Promotion and Tenure Review Committee to the Provost.
5. In all cases involving a negative recommendation on a faculty personnel action, the chair of the department, director of the program, or chair of the *ad hoc* review committee shall inform the candidate of the decision in writing. In all cases of appointments, renewals, and promotions, the Dean shall communicate the final disposition of the matter in writing to the department chair, program director, or chair of the *ad hoc* review committee and the faculty member. Upon the candidate's request, after a final decision, the department chair, program director, or chair of the *ad hoc* review committee shall transmit to the candidate a written

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statement of the categories in which the candidate exhibited strengths and weaknesses.

6. Unless a faculty member on a fixed-term appointment receives notice of appointment to a position with tenure before the beginning of that person's eighth year of full-status, full-time membership in College and University faculties, that person does not achieve tenure.

7. Normally notification of the decision on tenure is given by June 1 of the penultimate year in the probationary period.

F. Waivers and Resignations:

1. Waivers:
 - a. Whenever prior service at other institutions has not provided opportunities for professional growth and achievement comparable to those enjoyed by junior faculty at Vanderbilt (e.g., higher teaching loads or less research support), then at the time of the appointment to a tenure-track position at Vanderbilt the candidate and the Dean must negotiate the number of prior years to count toward tenure.

Various exigencies may retard or temporarily interrupt a faculty member's professional career. This means that certain periods during the probationary period should not count as full-time service. No period shall be less than one semester. In all cases, the faculty member and her or his department chair or program director must present, after appropriate consideration by the tenured faculty, any request and corresponding recommendations for such exceptions at the earliest possible moment to the Dean. Such requests should outline the amount of time to be exempted from the tenure track. In no case may the total exemptions under this provision exceed four semesters.

 - b. The foregoing provisions shall not be construed to prevent temporary or part-time appointment of professionally qualified persons on a fixed-term basis without the prospect of tenure.

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2. Resignations:
 - a. A faculty member may terminate a fixed-term, tenure-track appointment at the end of an academic year, provided written notice is given no later than March 1.
 - b. A faculty member resigning a tenured appointment is expected to give at least one semester's notice.
 - c. Waivers of these notice periods may be negotiated by consent of both parties.

III. LECTURER, SENIOR LECTURER, AND PRINCIPAL SENIOR LECTURER FACULTY APPOINTMENTS

The specific policies, criteria, standards and procedures for non-tenure-track faculty instructional appointments are stated in this section. Appointments to these positions are essential to the mission of the College and differ from other appointments by the special instructional focus of faculty members holding these positions. The terms and conditions of each of these appointments to the faculty, including extensions, modifications, and notices incumbent on either party, shall be stated in writing, with a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of appointment shall be stated in the letter of appointment.

A. Criteria and Standards:

1. For appointment to the rank of Lecturer, candidates should show promise of excellence in instruction within the fields to which they are being appointed. The individuals should have demonstrably mastered the academic field in which they will teach. Except in unusual cases, Lecturers will be limited in their teaching to introductory level courses. Lecturers are expected to hold advanced degrees in the fields within which they teach.
2. For appointment to the rank of Senior Lecturer, candidates must demonstrate excellence in teaching within the fields they are assigned and competence to instruct in a variety of levels and settings. Senior Lecturers may be assigned to certain administrative as well as instructional and advising duties. Senior Lecturers normally hold the terminal academic degree appropriate to their field.
3. For appointment to the rank of Principal Senior Lecturer, candidates must demonstrate superiority in teaching within the field they are assigned and high levels of competence to instruct in a variety of levels and settings beyond the expectations for the rank of Lecturer or Senior Lecturer. Principal Senior Lecturers may be assigned to certain administrative, as well as instructional and advising duties. Principal Senior Lecturers normally hold the terminal academic

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degree appropriate to their field.

B. Appointments and Renewals:

1. Lecturers shall be appointed for a term not to exceed one year. The department or program's evaluations of teaching will be collected to support recommendations by the chair or program director to the Dean to make the appointment. These appointments may be made on the basis of one or more courses for any term. Teaching loads of three or more courses or their equivalent per semester are considered full-time appointments.
2. Senior Lecturers may be appointed for up to three years. Multi-year appointments will be reviewed in the penultimate years. The department or program's evaluations of teaching will be collected to support recommendations by the chair or program director to the Dean to make the appointment. The original appointments are made on the recommendation of the chair or program director after a positive vote by a majority of the members of the department or program who are tenured or on the tenure track or full-time Senior Lecturers. Renewals will be on the recommendation of the chair or program director after a positive vote by a majority of the tenured and tenure-track faculty. The duties of the full-time Senior Lecturers are assigned by their respective department chairs or program directors. Appointments of part-time Senior Lecturers will be made on the basis of per course or equivalent agreements specified in appointment letters. (Rules for voting follow II.D.7, II.D.8, II.D.9, and II.D.11.)
3. Principal Senior Lecturers may be appointed for up to five years. Multi-year appointments will be reviewed in the penultimate years. A faculty member may be considered for the rank of Principal Senior Lecturer after she or he has completed two consecutive three-year terms as Senior Lecturer. The department or program's evaluations of teaching will be collected to support recommendations by the chair or program director to the Dean to make the appointment. In consultation with the Dean, the original appointment is made on the recommendation of the chair or program director after a positive vote by a majority of the members of the department or program who are tenured or on the tenure-track or are full-time Principal Senior Lecturers. Renewals will be on the recommendation of the chair or program director after a positive vote by a majority of the tenured and tenure-track faculty. The duties of the full-time Principal Senior Lecturer are assigned by their respective department chairs or program directors. Appointments of part-time Principal Senior Lecturers will be made on the basis of per course or equivalent agreements as specified in appointment letters. (Rules for voting follow II.D.7, II.D.8, II.D.9, and II.D.11).

C. Procedures for Personnel Decisions:

1. Faculty dossiers shall be kept on all Lecturers, Senior Lecturers, and Principal

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Senior Lecturers in their departments and/or programs to facilitate maintenance of support for appointment and reappointment recommendations.

2. All recommendations to the Dean are made by the chair of the department or program director, with a description of the position to be filled. In the cases of initial appointments as Senior Lecturer or Principal Senior Lecturer, the recommendation should be supported by at least three letters of assessment of the teaching accomplishments of the candidate and a record of the vote of the tenure-track and tenured members of the faculty. In cases wherein the Ph.D. is not the appropriate terminal graduate degree in the candidate's field of instruction, the recommendation for Senior Lecturer or Principal Senior Lecturer must explain how the candidate's credentials match this level.
3. The recommendation received from the department or program will be reviewed by the Dean. Any favorable recommendations for full-time appointments at the rank of Lecturer, Senior Lecturer and Principal Senior Lecturers will be forwarded by the Dean to the Provost for final approval.
4. Recommendations for renewal of research term appointments within specific ranks will be made to the Dean by the department chair or program director.

D. Resignations:

1. A Senior Lecturer or Principal Senior Lecturer resigning a multi-year appointment is expected to give notice by March 1.
2. Waivers of these notice periods may be negotiated by consent of both parties.

IV. RESEARCH FACULTY

The specific policies, criteria, standards, and procedures for non-tenure-track research faculty appointments are stated in this section. Appointments to these positions are essential to the mission of the College and differ from other appointments in the special research focus of faculty members holding these positions. The prefix "research" designates an individual appointed to participate in a time-limited research program. Such persons usually do not have teaching assignments. The terms and conditions of every appointment to the faculty, including extensions, modifications, and notices incumbent on either party, shall be stated in writing, with a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of appointment should be stated in the letter of appointment.

A. Criteria and Standards:

1. For appointment or promotion to the rank of Research Assistant Professor, candidates should show promise of achieving a level of excellence in research,

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scholarship, or creative expression appropriate to their discipline. These appointments may be for up to three years and are renewable.

2. For appointment or promotion to the rank of Research Associate Professor, excellence in research, scholarship, or creative expression, comparable to the level and quality required of Associate Professors in corresponding units at other leading major research universities, is required. Statements outlining the kinds of criteria should be available to the candidates. These appointments may be for up to three years and are renewable.
3. For appointment or promotion to the rank of Research Professor, the College expects the level and quality of achievement in research required of Professors in corresponding units at other leading major research universities. Comparable evidence of relative ability should be provided for those in fields for which the foregoing criteria are inappropriate. These appointments may be for up to three years and are renewable.

B. Appointments and Promotions:

1. Initial appointments to the position of Research Assistant Professor are recommended to the Dean by the department chair or program director after a vote by all tenured and tenure-track members of the department or program. The candidate's dossier reviewed by the department or program must include three external letters assessing the candidate's work. The chair's or program director's recommendation should include the vote of the eligible faculty (rules for voting follow II.D.7, II.D.8, II.D.9, and II.D.11).
2. Initial appointments and promotions to the position of Research Associate Professor are recommended to the Dean by the department chair or program director after a vote by all tenured members of the faculty. The candidate's dossier reviewed by the department or program must include six external letters assessing the candidate's work. The chair's or program director's recommendation should include the vote of the eligible faculty (rules for voting follow II.D.7, II.D.8, II.D.9, and II.D.11).
3. Initial appointments and promotions to the position of Research Professor are recommended to the Dean by the department chair or program director after a vote by all tenured Professors. The candidate's dossier reviewed by the department or program must include six external letters assessing the candidate's work. The chair's or program director's recommendation should include the vote of the eligible faculty (rules for voting follow II.D.7, II.D.8, II.D.9, and II.D.11).
4. All recommendations for renewals will follow the procedures outlined in IV.C.

C. Renewals:

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Recommendations for renewal of research term appointments within specific ranks will be made to the Dean by the department chair or program director.

D. Resignations:

1. A research faculty member resigning a multi-year appointment is expected to give at least a five-month written notice;
2. Waivers of these notice periods may be negotiated by consent of both parties.

V. OTHER FACULTY APPOINTMENTS

Other faculty positions include one-year or longer appointments made for temporary and non-tenure-track appointments within the set of positions available, such as term appointments off the tenure track. The additional positions in this category are those listed in the *Faculty Manual*. Faculty members with full-status, partial-load appointments may arrange to have their one-year appointments renewed beyond the fourth year. Persons may be appointed off the tenure track as Assistant Professor for up to three years.

VI. THE ROLE OF THE DEAN

- A. Affirmative departmental activities referred to in these rules and procedures are to be understood as recommendations to the Dean. In accordance with the *Faculty Manual*, the Dean authorizes, with the Provost's approval, the filling of faculty positions. The Dean's approval is required for all faculty appointments.
- B. The Dean is responsible for liaison with other parts of the University in connection with proposed faculty appointments.

VII. REVISION

These rules and procedures may be revised in accordance with the regular procedures of the Faculty of the College of Arts and Science.