

2.0 ACADEMIC APPOINTMENTS, REAPPOINTMENT, TENURE AND PROMOTION

NOTE: In many cases, policies governing the Joan and Sanford I. Weill Medical College and Graduate School of Medical Sciences of Cornell University differ from policies governing Cornell's Ithaca campus. Faculty at the Medical College and Graduate School of Medical Sciences should consult with the Office of the Provost for Medical Affairs for the relevant policies.

2.1 ACADEMIC APPOINTMENTS

The academic personnel and appointment policies that have been standardized and placed into the official university policy format are posted online at the University Policy Office, and are available in the Human Resources Volume of its library (Volume 6). The URL of currently standardized university policies is: http://www.policy.cornell.edu/academic_policies.cfm. Those that have not yet been standardized and placed into the official university policy format are listed at this site also. The policies are periodically updated and should be consulted for more complete information than this handbook contains on matters related to academic appointments. Additional assistance may be obtained from the academic department's administrative office, the college office, the Academic Personnel Policy Office, or the Office of the University Faculty.

A commitment to affirmative action and equal opportunity constitutes one of the highest priorities of the faculty, the administration and the trustees of the university. The university has a vice provost who is directly responsible for diversity. The university's Office of Workforce Diversity, Equity and Life Quality, in the Office of Human Resources, works with this individual. Academic and nonacademic units have appointed an affirmative action representative. This administrative structure assists the university in implementing affirmative action policies and procedures.

Except in rare special circumstances, or when an appointment is temporary—expected to terminate in one year or less—vacant academic positions must be filled by conducting a formal search. Authority to initiate a search comes from a dean, or in the case of centers, from an executive officer. Before a search is begun, an affirmative action search plan must be submitted to the dean or executive officer for approval and also to the vice provost for Diversity and Faculty Development. The vice provost assists the dean's office and the search committee with affirmative action aspects of the search. When the search has been completed, an appointment confirmation and search summary (ACSS) form must be prepared and submitted to the dean, along with a copy of the search plan, the Employment Eligibility Verification form (I-9), tax forms, the appointment letter and UPAF (University Personnel Action Form). Other forms which may be required include the Oath of Allegiance and a patent agreement.

Authority to Make Appointments

Academic appointments normally originate in departments, where a UPAF (University Personnel Action Form) is initiated for ultimate processing through the Records Administration Office in Human Resources. The form requires approval by the department chairperson or director and in many cases by the cognizant dean or vice president. Actions involving academics with joint appointments may require approval by the other college. **Faculty members do not have authority to make academic appointments, even if the supporting funds come from research grants supervised by the faculty members.** No appointment is firm until it is approved at the designated level of final authority for the particular title, status, and length of term that apply to it. Extensive details regarding this authority are published in the policy about academic titles and appointments on the University Policy Library website, and answers to particular questions can be obtained from department administrative offices and deans' offices.

Appointments or promotions involving award of indefinite tenure require the approval of the Board of Trustees and are acted on at meetings of the board. Professorial term appointments of five years or less (four years or less in the case of assistant professors) can be approved by the dean, without Trustee action, if the appointment does not exceed permissible limits governing time and title.

Letters of Appointment

Letters of appointment at the rank of assistant professor, non-professorial titles, and for term appointments of associate professors and professors, may be transmitted to the appointee with prior approval from the dean's office. Appointments conferring tenure require the approval of the Board of Trustees, and the official notification letter comes from the president.

In the interests of both the appointee and the university, the information conveyed (as prescribed in the policy on academic titles and appointments) in offering an academic appointment regardless of level should include:

- The formal appointment title (see Trustee-approved list in the next section), plus appropriate working title or field designator.
- The starting date and the termination date of appointment.
- The period of responsibility each year, for example whether nine months or twelve.
- The salary. If the salary for less than a full year is paid over a full year, the letter should mention the practice of prepayment and postpayment.
- Whether the appointment is terminal or renewable, and whether it is on the tenure track. [If an appointment is renewable, a decision on reappointment will be made toward the end of the stated term, and there is a commitment to give notice.]
- A general statement of the responsibilities of the position. [For initial appointments on the tenure track this is most important, since it is on fulfillment of these responsibilities that a candidate will be judged when a review is conducted for reappointment or promotion to tenure. Professorial duties normally include teaching, advising, research

and other scholarly work, public service, and contributing to the department, the college, and the university. Not all faculty members are assigned all of these responsibilities. The emphasis given to each responsibility varies among the colleges and departments of the university, and even among the various positions within the department. The responsibilities may be readjusted after the initial appointment, in response to changing department needs or interests of the faculty member; these changes are customarily made by joint agreement between the faculty member and the department chairperson or representative of the dean. In any case, the general expectations should be on record, and should include the normal teaching load and any expectations regarding the initial course assignments.]

- Any special arrangements or agreements regarding such concerns as the length of the probationary tenure period, timing of sabbatical leave (for tenured professors), or provision of moving allowances.

Academic Titles

Academic titles are assigned according to the mix of primary responsibilities at the forefront of the university's core efforts in research, teaching, and extension or outreach (including library). The use of a title may require that an approved position be available.

The following authorized academic titles are primary titles and all appointments thereto are approved by action of the dean, the provost, or the Board of Trustees. Administrative titles, such as dean, director, and provost, are not included and do not by themselves confer academic status. Additional titles are used in the Medical College. Only certain modifiers are approved for use, and each is approved for use only with specific titles. *Adjunct*, *acting*, *courtesy*, and *visiting* are the modifiers. Each may be used with the titles professor, associate professor, and assistant professor. The titles instructor, senior lecturer, and lecturer may be modified only with *courtesy* or *visiting*. The titles senior scholar and senior scientist may be modified only with *visiting*. Only one modifier may be used with a title.

professor
 associate professor
 assistant professor
 university professor
 professor *emeritus*
 professor-at-large
 senior scholar
 senior scientist
 instructor
 senior lecturer
 lecturer
 senior research associate
 research associate
 senior extension associate
 extension associate
 postdoctoral associate / fellow

teaching associate
 visiting fellow
 visiting critic
 visiting scientist
 visiting scholar
 university librarian
 associate university librarian
 assistant university librarian
 librarian
 associate librarian
 senior assistant librarian
 assistant librarian
 archivist
 associate archivist
 senior assistant archivist
 assistant archivist

A dean may approve the use of an appropriate field designator after a professorial title, such as *Professor of French Literature*. A dean may approve use of a working title that does not mimic another academic title.

Within the title “professor *emeritus*,” the designation “Graduate School Professor of (*field*)” may be granted by vote of that graduate field. Please refer to the description for the “professor *emeritus*” title in the following section.

Endowed Professorships or Chairs are appointments that usually are wholly or partially funded by the income of an endowment. The establishment of endowed professorships, chairs, and other named positions requires approval of the Executive Committee of the Board of Trustees upon satisfaction of endowment policies. Election to endowed professorships and chairs is by action of the Board of Trustees. Chairs normally are awarded to tenured members of the faculty for the holder’s career in the college or department. When the nature of the endowment limits the professorship to a single college or unit, the dean makes a recommendation for filling the chair to the provost. When the professorship could be held by a faculty member in more than one college, the provost canvasses the deans of those colleges for nominations and makes the selection, except as otherwise provided in the professorship’s establishment.

Professor. The rank of professor is usually attained by promotion from associate professor after a positive evaluation of performance and promise. In such a case, the person ordinarily has already been awarded indefinite tenure as an associate professor. A new appointment at the level of tenured professor is also possible with the approval of the Board of Trustees, following established procedures for tenure review. A new faculty member may be given a term appointment at this level for a fixed term of up to five years.

Professors are responsible for teaching, research, advising students, and providing public, departmental, college and university service. Not all professors are assigned all these duties; the determination of responsibilities is made by the dean and the department chairperson or the director of a center, institute or program in consultation with the faculty member. But the responsibilities must include significant effort in research and either teaching or extension/outreach.

Associate Professor. An appointment as associate professor usually results from the promotion of an assistant professor with the award of tenure. In rare cases, the rank of associate professor with tenure is bestowed on a new faculty member with the approval of the Board of Trustees, following established procedures for tenure review. A new faculty member may be given a term appointment at this level for a fixed term of up to five years.

In unusual cases, assistant professors are promoted to the rank of associate professor without being awarded tenure. Such actions at Cornell are normally limited to the professional schools, reflecting a practice that is more common in professional schools nationally. These promotions do not extend the normal probationary period for the tenure decision. They do not require approval by the Board of Trustees, but for

assistant or associate professors on the tenure track, promotion does require approval by the provost. Promotion near the time of tenure review is inappropriate.

The duties of associate professors are the same as those of professors.

Assistant Professor. The position of assistant professor is not a continuing appointment at Cornell. The bylaws of the university state that an individual may not be continued in this rank for more than six years—rarely an exception is possible, only if, in the opinion of the provost, such temporary continuation is justified. This provision does not apply to the Medical College. If an assistant professor is reviewed for tenure and is not promoted, university policy requires a one-year terminal appointment, which may constitute a seventh (or subsequent) year in rank. Assistant professors may not hold tenure.

New assistant professors may be appointed in probationary tenure status, normally for a term of three years. Toward the end of this initial term, the individual is evaluated for reappointment to another three-year term. Unsuccessful candidates for reappointment may appeal and must be given at least a one-year terminal appointment. Those who are reappointed and retained in a probationary tenure status are evaluated for tenure in the latter part of the fifth year or in the sixth year, according to the procedures outlined in this section.

A qualified individual may be appointed as an assistant professor not in probationary tenure status. This may occur, for instance, when a department's staffing or programmatic needs or funds for the position are viewed as temporary in nature. Such an appointment can be for up to four years and is renewable through the sixth year, continued only for reasons that in the judgment of the provost are temporary.

The duties of assistant professors are the same as those of professors.

Instructor. An instructor is responsible for teaching and research, and is expected to be able to plan and conduct courses with little or no supervision. The specific duties and expectations of the position vary considerably from one college or department to another. Instructors are not members of the University Faculty, and are not normally members of the Graduate Faculty. They are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty. Instructors may be appointed for a term not to exceed two years for a maximum period of service of five academic years.

The title of instructor is sometimes used at Cornell for a person whom the university intends to appoint as an assistant professor but who has not yet completed all the requirements of the expected terminal degree. In some cases, individuals who have the degree are expected to serve for a period in the rank of instructor before entering the tenure ladder. The title is also used when a department has a temporary vacancy (for example, a faculty member is on leave) and an instructor is appointed, either full-time or part-time, to fill some of its teaching and research responsibilities. These are temporary appointments not involving probationary tenure status, except as designated by the dean in the context of the originally anticipated title of assistant professor. If the

assigned responsibilities consist only of teaching, the title lecturer should be used instead of instructor, since the latter requires research as well as teaching activity.

Persons holding the title instructor will not be granted tenure in that title or be eligible for sabbatic leave.

Senior Lecturer and Lecturer. The responsibilities of the positions are primarily, if not entirely, in teaching; research responsibilities are not expected to be included. Persons holding the titles will not be granted tenure or be eligible for sabbatic leave.

The title senior lecturer implies significant professional qualifications. Appointments of senior lecturers are for periods of no more than five years and are renewable. The dean is responsible for determining appropriate qualifications for senior lecturers and lecturers; those qualifications may vary by subfield or department. Appointments of lecturers are for periods of not more than three years and are renewable. The university bylaws provide as follows: For those cases where senior lecturers or lecturers are employed to address long-term teaching needs, the terms of appointment shall be five and three years respectively; one-year appointments shall be reserved for one-year replacements and other short-term needs, and initial probationary appointments.

Lecturers and senior lecturers are not members of the University Faculty or of the Graduate Faculty. They are non-voting members of the college or school faculty, except as stated below, or unless given the right to vote by the particular faculty in circumstances defined by that faculty. However, they participate fully in those decisions that are directly related to their roles within the college or school and within the department. The dean or director has the responsibility of identifying those issues that are related to their roles within the college or school, and the department chair has that responsibility within the department. The university bylaws specify that within the department, senior lecturers shall participate fully in hiring decisions of other senior lecturers and lecturers, and lecturers shall participate fully in hiring decisions of other lecturers. The bylaws further specify that, notwithstanding the above, in units where the number of lecturers and senior lecturers is comparable to the number of professorial faculty, the provost may determine the appropriate level of participation by lecturers and senior lecturers in curricular decisions. The provost's policy instituted specific periods of notice for non-renewal or termination of appointment for lecturers and senior lecturers.

Senior Scholar and Senior Scientist. These nonprofessorial titles designate positions to which individuals of high distinction in research and scholarship may be appointed. The positions carry the professional stature of full professor and salary commensurate with this rank, but not indefinite tenure. Appointments require dossier review equivalent of that for promotion of associate professor to professor and approval by the provost. This review must include professional evaluations from individuals external to the unit and external to Cornell and committee advice to the dean. These provisions underscore the high-profile stature of these titles. Although senior research associates at Cornell are not ineligible for consideration, these titles are not part of the research associate/senior research associate promotion sequence. Appointments may be made for periods of up to five years and are renewable. Reappointments require approval by the provost, upon recommendation by the department chair and the dean. Senior

scholars and senior scientists may be involved with the teaching program to an extent consistent with terms of the funding of their positions, but their primary role is research and scholarship.

Senior Scholars and Senior Scientists are not members of the University Faculty. They are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty.

Senior Research Associate. Holders of this title are members of the research staff with a very high degree of experience and training in research. They may be appointed directly to the position or be promoted to it from the position of research associate. Although they may teach courses consistent with the terms of the funding of the position, normally they do not teach. They usually have extensive contacts with graduate students and informally guide their research. Senior research associates are not members of the University Faculty. They are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty. A senior research associate is normally responsible to a member of the faculty but may be principal investigator on a grant or contract.

Appointments of senior research associates require the Ph.D. (or the equivalent terminal degree in the discipline). They are made for terms of up to five years and are renewable. Appointments are subject to the availability of funds, although notice provisions for non-renewal or for early termination pertain.

Research Associate. Appointment as research associate requires the Ph.D. (or the equivalent terminal degree in the discipline). Candidates for degrees administered by Cornell may not be appointed as research associates until all the requirements of the degree have been completed. Appointments of research associates are made for terms of up to three years and are renewable. Appointments are subject to the availability of funds, although notice provisions for non-renewal or for early termination pertain. Research associates normally have no responsibilities for formal teaching but may participate in seminars or specialized portions of courses to an extent consistent with the terms of the funding of these positions.

University Professor. The title of university professor was authorized by the Board of Trustees in April 1951, following a recommendation and University Faculty legislation suggesting the method of selection, responsibilities, faculty affiliations, and departmental or interdepartmental affiliations of persons to be so designated. Inquiries concerning the use of this title and the consideration of individuals for appointment to this rank should be referred to the Office of the University Faculty.

A separate procedure exists for selecting a university professor at the Medical College. Established in 1986, appointments to the professorship are known as the Walsh McDermott University Professorship of Medicine.

Professor Emeritus. Any member of the professional staff who retires after ten years in the tenured rank of university professor, professor, or associate professor and who has rendered distinguished and meritorious service to the university, may be appointed professor *emeritus* by the provost after recommendation by the members of the

particular department and the dean of the college or school faculty to which the retiring member belonged. (See also Retirement in section 4.1.)

A professor who does not seek or is not qualified or approved for *emeritus* status is considered a retired academic. *Emeritus* status is not available for other academic titles.

Professor *emeritus* is a continuing appointment status, inactive until a "rehire" appointment is approved. Administrative and executive service is possible within the title professor *emeritus*.

By vote of their graduate fields, *emeritus* professors will be granted the working designation "Graduate School Professor of (*field*)". This designation, which can be used on grant and contract applications, will permit an individual to retain the rights of other graduate faculty in the field. Maximum terms are for five years, renewable. Records are maintained by the Graduate School and inquiries may be directed to the Office of the Dean of the Graduate School.

Professor-at-large. The professor-at-large title is reserved for specially defined uses. The Andrew D. White Professor-at-Large Program is the modern version of a program originating with President Andrew D. White early in Cornell's history. It was reinstated in 1965 by the Board of Trustees and has the purpose of attracting to Cornell, as full-fledged voting members of the University Faculty while in residence, "those individuals who have achieved outstanding international distinction in the humanities, the natural or social sciences, or the learned professions, or have achieved such distinction and have demonstrated broad intellectual interests through their activity in such fields as public affairs, literature, or the creative arts." Professors-at-large are elected by the Board of Trustees upon the recommendation of the president for a six-year term. The procedures for selection and nomination by the president are controlled by legislation of the Faculty Senate. Current legislation specifies that the number of professors-at-large should not normally exceed eighteen and recommends that a substantial number of these be from foreign countries. The residence requirements are that each individual appointed as a professor-at-large agrees to spend a minimum of two consecutive weeks every three years in residence on the Ithaca campus. Each receives a stipend and other perquisites as may be agreed upon at the time of their election.

The program is directed by a person appointed by the president. There is a selection committee consisting of the dean of the University Faculty, the dean of the Graduate School or other representative of the president, the person directing the program who serves as chair of the committee, the dean of Students, and nine other faculty members appointed by the president upon recommendation of the Nominations and Elections Committee with the concurrence of the Faculty Senate after consultation with the previous selection committee. Vacancies in the program are announced each year, and nominations are solicited for consideration by the selection committee. These nominations must be carefully documented and supported by letters both from outside and within the university testifying to the merit of the nominee and the interest of a broad segment of the university in having that appointment made. The recommendations of the committee are referred to the president.

Senior Extension Associate. A senior extension associate has significant professional qualifications. Appointment as senior extension associate in Cornell Cooperative Extension requires the Ph.D., and the Ph.D. is preferred for other appointments as senior extension associate; otherwise a master's degree in a pertinent discipline or an advanced professorial degree is required. Responsibilities involve primarily, if not entirely, extension programming or administration. Senior extension associates are not members of the University Faculty. They are nonvoting members of their college or school faculties unless given the right to vote by the particular faculty. Senior extension associates are appointed for terms of up to five years and may be reappointed on the basis of recommendations by the department and the appropriate extension director and dean(s).

Extension Associate. An extension associate has qualifications for independent extension programming or administration and must hold a master's degree in a pertinent discipline or an advanced professional degree. He or she would be expected, for example, to be able to develop programs and program materials either together with, or under the direction of, an extension program leader. An extension associate does not normally have responsibilities for graduate students.

Extension associates are not members of the University Faculty but may be nonvoting or voting members of college faculties at the discretion of those faculties. Extension associates are appointed for terms of up to three years, renewable.

Postdoctoral Associate/Postdoctoral Fellow. These titles are reserved for individuals on the research staff whose primary goals are to extend their own education and experience. Although they hold a doctoral degree, they are not considered independent researchers. The selection of "associate" or "fellow" for the title reflects traditions of the field and, in some cases, sources of funding, although a postdoctoral fellow need not hold a fellowship. Postdocs often participate in the research training of graduate students and sometimes teach informally.

Although these are research titles, there are circumstances that permit teaching. The humanities and other non-laboratory-based disciplines may use postdocs in the classroom as a form of scholarship. Postdocs also may teach as a way of developing academic skills in anticipation of a faculty career, if the experience is formally mentored and appropriate attention continues to be devoted to development of the research program. Postdocs must not be used to supplant the use of lecturers and senior lecturers in the curriculum. Postdocs with appropriate teaching responsibility may be appointed concurrently to a lecturer title – total effort may not exceed 100%.

Postdoctoral titles are not in the promotion sequence of research associate-senior research associate. Movement to a research associate title must occur as the result of a full search or by waiver of search; waiver of search in this context requires three full years in the same Cornell postdoctoral experience, and the waiver request and supporting package requires approval through the Academic Personnel Policy Office.

Candidates for Cornell degrees may not be appointed as postdoctoral associates until all requirements of the degree have been completed. Such appointments are made for terms of up to one year and are normally not renewable beyond three years.

Teaching Associate. A teaching associate has the duties and the responsibilities of a graduate teaching assistant but is not a registered student. Unlike graduate teaching assistants, teaching associates are not limited to part-time employment, and their salaries are not linked to those for graduate teaching assistants. Appointments as teaching associate can be for up to one year and are renewable. This title is not in the promotional sequence for lecturer/senior lecturer.

Visiting Fellow. The visiting fellow title allows fellowship holders and scholars on leave from other institutions, or persons from business, industry, or government to be affiliated with and participate in the research program of the appointing unit. It is not necessary that a visiting fellow be the holder of a fellowship. Visiting fellows are not considered Cornell employees and do not receive salary from Cornell; however, to grant access to university facilities and services and to establish an academic credential, formal appointments must be made. Visiting fellows have no teaching responsibilities, but they can be invited to present specialized seminars or lectures. Visiting fellows ordinarily hold advanced degrees and are well established in their discipline. The title should not be used to appoint external graduate students, either foreign or American. Consult the online policy on academic titles and appointments for further information. Cornell graduate students cannot be appointed until all degree requirements have been met. Department chairs must ensure that offering letters describe in detail those resources that can be expected while at Cornell, e.g. staff support, office or research space, funds for supplies, computer time, long-distance telephone service. The appointment can be for a short time or as long as a year and is renewable for a maximum of three years, irrespective of department affiliation.

Visiting Critic. A visiting critic is one who has substantial expertise, generally in an area of the creative arts, and who contributes to the programs of a department in that area. A visiting critic may be from another academic institution but is often a practitioner such as an artist, architect, musician, or writer. Appointment as visiting critic may be paid or unpaid; if unpaid, formal appointment is necessary to establish an academic credential and grant access to university facilities and services. Visiting critics ordinarily hold advanced degrees and are well established in their discipline. The title should not be used to appoint external graduate students, either foreign or American. Consult the online policy on academic titles and appointments for further information. Cornell graduate students cannot be appointed until all degree requirements have been met. Department chairs must ensure that offering letters describe in detail those resources that can be expected while at Cornell, e.g. staff support, office or research space, funds for supplies, computer time, long-distance telephone service. The appointment can be either with or without salary for a short time or up to one year and is renewable for a maximum period of three years, irrespective of department affiliation.

Visiting Scientist and Visiting Scholar. These titles are applied, like that of visiting critic, to persons whose primary association is with another institution or corporation but who are invited to reside at Cornell and contribute to programs of scholarship or scientific research over a limited period of time. Appointment as visiting scientist or visiting scholar may be paid or unpaid; if unpaid, formal appointment is necessary to establish an academic credential and grant access to university facilities and services. Visiting scientists and visiting scholars ordinarily hold advanced degrees and are well

established in their discipline. The titles should not be used to appoint external graduate students, either foreign or American. Consult the online policy on academic titles and appointments for further information. Cornell graduate students cannot be appointed until all degree requirements have been met. Department chairs must ensure that offering letters describe in detail those resources that can be expected while at Cornell, e.g. staff support, office or research space, funds for supplies, computer time, long-distance telephone service. The appointment can be either with or without salary for a short time or as long as a year, and is renewable for a maximum period of three years, irrespective of department affiliation.

University Librarian. The title of university librarian is reserved for the individual who is elected by the Trustees to the position of chief librarian and administrator of the research libraries and collections which constitute Cornell University Library. Nomination is made by the president to the Board of Trustees for a five-year, renewable term. The university librarian, an *ex officio* voting member of the University Faculty, also carries the title of Carl A. Kroch University Librarian.

Associate University Librarian and Assistant University Librarian. These titles are used for individuals who report to the university librarian with broad responsibilities, usually for several functional areas within the system. They formulate and administer library policies and assist the university librarian with the management of the Cornell University Library. Incumbents are *ex officio*, voting members of the University Faculty and are appointed for five-year renewable terms.

Librarian, Associate Librarian, Senior Assistant Librarian and Assistant Librarian. A librarian has professional, graduate-level training and experience, including an M.L.S. or equivalent graduate degree and evidence of subject expertise if required for the position. The responsibilities involve the administration of libraries and the development and management of library programs and collections in support of teaching and research. A librarian is appointed to one of the four ranks (assistant librarian, senior assistant librarian, associate librarian and full librarian). Thereafter a librarian is promoted as governed by Cornell University Library procedure.

Archivist, Associate Archivist, Senior Assistant Archivist and Assistant Archivist. An archivist has professional, graduate-level training and experience. An archivist's responsibilities involve the administration of archival collections and programs. The ranking system, educational requirements, and terms of appointment are the same as those for librarians.

Appointments with Modified Titles

Academic titles are sometimes modified in regulated ways by the terms *acting*, *adjunct*, *courtesy*, and *visiting*.

Acting Appointment. Among academic titles, *acting* may be applied only to assistant professor, associate professor or professor. *Acting* indicates a temporary situation. For example, an assistant professor may be designated as *acting* if the academic degree normally required for the position has not been completed at the time of the

appointment. Holders of the *acting* professorial titles are members of the University Faculty but do not have voting status.

The term *acting* may also be used for a person who temporarily fills the position of chairperson, director, or dean. The incumbent may designate an individual to assume the responsibilities of the position for a short period without making a formal appointment. Since *acting* appointments are always temporary, the term of the appointment is normally for up to one year. It is renewable only in unusual circumstances. The term *interim* may be substituted in successional administrative situations.

Adjunct Appointment. *Adjunct* may be applied only to assistant professor, associate professor, and professor. A person whose title is modified by the word *adjunct* is one who, though his or her primary responsibility is outside the department, is willing to contribute part-time to the academic program. The appointment normally involves compensation. The academic qualifications of individuals appointed to *adjunct* professorships are comparable to those of regular faculty members, and appointment procedures are identical to those for regular academic positions. *Adjunct* appointments of professors and associate professors can be for up to five years, while those of assistant professors are for up to three years. Both are renewable. The approval of the dean is required. Individuals holding *adjunct* professorships are members of the university and college faculties but do not have voting privileges. Voting membership in college faculties may be conferred by the college.

Courtesy Appointment. The *courtesy* modifier may be applied only to assistant professor, associate professor, professor, instructor, senior lecturer, and lecturer. Persons having professional qualifications for regular appointments to these titles and who serve on the staff of an academic department although employed by an outside agency may be appointed with the modifier *courtesy* appended to the appropriate title. Such *courtesy* appointments, reappointments, and promotions are subject to the same departmental and college reviews as appointments to the unmodified titles. Such appointments are without salary or fringe benefits. Individuals holding *courtesy* professorial appointments are voting members of the University Faculty.

Visiting Appointment. *Visiting* may be applied only to assistant professor, associate professor, professor, instructor, senior lecturer, lecturer, senior scholar, and senior scientist. The modifier *visiting* denotes a temporary arrangement. It may be used to designate a salaried temporary member of the teaching or research staff who assumes the usual responsibilities of the position. *Visiting* staff members are drawn from a variety of sources, including sources within Cornell, in which case the individual has a *visiting* appointment to the particular faculty or program. Many have continuing academic appointments at other institutions; others with the qualifications for professorial titles have held positions in business, industry, government, and foundations. Individuals with *visiting* professorial appointments are members of the University Faculty but do not have voting status.

At times a department may offer space and facilities to a scholar or a scientist on leave who is receiving total support and compensation from an institution or agency other than Cornell. If the individual is a member of the faculty of another college or

university, the *visiting* appointment should be made at the same professorial rank he or she currently occupies. If the person does not already have a professorial title, the visiting fellow title should be used. Questions about such resources as staff support, office or research space, financial support from Cornell or the research program or about supplies, computer time, and the like, should be resolved for the offer letter before the appointment is made.

Academic Appointments in the ROTC Program

The commanding officers of the Army, Navy and Air Force ROTC units are appointed department heads with the *ex officio* rank of professor (with voting status in the University Faculty) in the Department of Military Science and Tactics, the Department of Naval Science and the Department of Air Science, respectively. The other members of the instructional staff in these departments have the academic rank below that of professor to which they may be appointed by the president or designee upon the recommendation of their department heads. Unless sooner terminated by the university, all appointments in these departments terminate upon relief from military duty at the university.

Relations between Cornell University and the ROTC program are monitored by the University-ROTC Relationships Committee. The officers nominated by the military services to give ROTC instruction at Cornell must be reviewed and accepted by this committee before the appointments are confirmed.

Academic Appointment of Foreign Nationals

Immigration regulations affecting the wide spectrum of foreign nationals appointed to the academic staff are too lengthy and complex to be summarized in this handbook. The International Student and Scholar Office provides detailed advice and assistance on these regulations. It is important that any academic department intending to hire a foreign national contact the ISSO at least 2-3 months before employment begins.

Foreign academic staff members must be in valid visa status and valid employment authorization approved by the Immigration and Naturalization Service at the time their work begins and before their appointments can be approved. All letters offering positions to nonimmigrant foreign nationals must include the phrase "this offer is contingent upon valid immigration status and employment authorization approved by the Immigration and Naturalization Service." Newly-appointed staff members must present their immigration documents to the International Student and Scholar Office soon after arrival at Cornell. All foreign academic staff members must have adequate health insurance for themselves and their dependents during their stay at Cornell.

NOTE: Upon arrival, foreign nationals who will have academic appointments, must obtain a U.S. social security number.

Election to tenure by the Board of Trustees requires that the faculty member either be a citizen or have achieved status as a permanent resident of the United States of America.

For tenure candidates whose recommendations have reached central university review and who are not yet citizens or permanent residents, the tenure review proceeds through the point of provost's approval. The recommendation to the Board of Trustees is withheld until proof of permanent residency status has been provided to the Academic Personnel Policy Office. The tenure recommendation then is placed on the agenda of the next meeting of the Board of Trustees. Meanwhile, unless permanent residency is denied, reappointment in probationary tenure status continues for terms up to the maximum length for the current rank, as work authorization may permit.

Part-Time Appointment Policy

Cornell's part-time appointment policy, adopted by the Board of Trustees on January 17-18, 1975, follows. (Note: non-substantive changes have been made to phrase the policy in gender-neutral terms and the ellipsis in paragraph 6 reflects the discontinued School of Nursing program.)

1. Definition. A part-time faculty appointment is an appointment involving academic responsibilities requiring not less than one-half of the responsibilities required of a full-time faculty member.
2. Rationale. A part-time appointment is designed for faculty members who wish to maintain the continuity of their academic careers when professional and personal commitments restrict the time that they can devote to academic responsibilities. The availability of part-time appointments permits, on an optional basis, greater staffing flexibility for colleges and their departments than is now possible.
3. General Provisions
 - A. Colleges of the university may at their discretion appoint qualified men and women to part-time faculty positions.
 - B. A faculty member may, under conditions set forth below, transfer from full-time appointment to part-time appointment and vice versa.
 - C. A faculty member holding a part-time appointment will be eligible for all the rights, privileges, and benefits (including sabbatical leave) that are available to a full-time faculty member. Such rights, privileges, and benefits, however, will be made available on a pro-rata basis except when such proration is not practically feasible.
 - D. The standards of performance as well as the procedures governing initial appointment, promotion, and/or tenure appointment for a faculty member serving on a part-time basis will be identical to those applied to a faculty member serving on a full-time basis. However, fulfillment of length of service requirements will be judged on the basis of equivalency to full-time service, e.g. two years of half-time service would be equivalent to one year of full-time service. Part-time faculty members would be considered for tenure not later than the equivalent of the sixth year of full-time employment (in accordance with the provost's memorandum of March, 1971).
4. Original Appointment
 - A. An original appointment to a part-time position shall be made in accordance with the provisions set forth above.

B. A description of the responsibilities, expectations, and other relevant conditions of the part-time appointment shall be given in writing to the individual with copies distributed to the college dean and department chairperson.

5. Change of Appointment

A. Any faculty member holding a part-time appointment is eligible for transfer to a full-time appointment, and any faculty member holding a full-time appointment is eligible for transfer to a part-time appointment. A change in status may be initiated by either the individual or (where applicable) the department chairperson or dean. Changes in status may not be effected without the consent of the faculty member and shall be effected by the same procedure utilized in the college for new appointments.

B. Changes of status shall be accomplished without gain or loss regarding length of service requirements.

C. Any change in rank (promotion and/or tenure) associated with such transfer shall be subject to the standards and appraisal procedures required for appointment to the new rank.

D. A description of the responsibilities, expectations, and other relevant conditions of the appointment which the individual is assuming shall be given in writing to the individual with copies distributed to the college dean and relevant department chairperson.

6. Application

This regulation shall apply to all academic divisions of the University except the Medical College, ... and the Graduate School of Medical Sciences.

Moving Allowance

At the discretion of the appropriate dean, director, or executive officer, new academic staff members may be reimbursed for the costs of moving to Cornell. All moving allowances are paid from university funds; the allowances cannot be directly charged to a sponsored project or included as cost sharing.

If the employee will be using a commercial moving company to move household goods, the business manager at the hiring unit at Cornell should work with the employee and Cornell's Office of Purchasing Services in order to assure best price, issuance of a purchase order and direct payment by Cornell.

Payments for moving that are not paid directly by Cornell to a moving company are processed on a travel reimbursement voucher. The employee receives the actual reimbursement on a paycheck because of IRS reporting requirements. Caution: IRS classifies "indirect moving expenses" (i.e. house hunting trips, hotel expenses upon arrival, meals in transit, etc.) as taxable wages. Some units limit reimbursements to direct moving expenses as defined by tax law to avoid taxable implications to the employee.

Departments should maintain agreements related to the move and notify the Office of Tax Compliance if an employee does not complete one year's service.

Oath of Allegiance

According to section 3002 of the New York State Education Law, no citizen or permanent resident of the United States may serve as an educator in a college or university without executing an oath of allegiance—a pledge to support the constitutions of the United States and State of New York and a declaration to faithfully discharge the duties of the position. United States citizens newly appointed as lecturer, instructor, or to the professorial ranks and who teach are required to sign an oath of allegiance, which is submitted with the appointment materials. Appointees who are not United States citizens need not sign an oath of allegiance. They must, however, sign a statement of exemption and have it notarized.

Appointment of Candidates for Cornell Degrees

The university bylaws stipulate that no member of the University Faculty may be a candidate for a degree administered by Cornell University. In view of this policy, a candidate for a Ph.D. at the university who is hired as an academic staff member before receiving the degree would be appointed as an instructor or lecturer.

Supplemental Summer Employment

Faculty members on appointments requiring nine months of service may accept compensated summer employment elsewhere (e.g. in the university summer session or in connection with sponsored research projects under university auspices). No member of the faculty is required to teach in the summer session.

Faculty members on twelve-month appointments are normally required to perform year-round duties except for the planned vacation period, which is accrued at the rate of twenty-two workdays per year.

Faculty members who teach during the summer session and/or work on sponsored research may receive up to a maximum of three months' summer salary, if prior approval is given by the respective deans. The normal maximum period for charging summer salaries to sponsored research projects at Cornell is two and one-half months. All compensation for summer employment at Cornell must be for time actually spent during the officially designated summer period. The Office of Sponsored Programs can be contacted for details.

2.2 REAPPOINTMENT

Reappointment Not Involving Probationary Tenure Status

Reappointment of a professorial staff member holding a renewable term appointment is not a right and is not automatic. Reappointment depends on the quality of performance in the position, the availability of funds and space, and the continuation of the sponsoring program. Approval by the department chairperson and the dean or director of the academic unit is required for reappointment.

Written notice of a decision not to renew the appointment must be given to the staff member by the dean, director, or chairperson; this should be done as early as possible. For nonterminal appointments, at least three months' notice is required. For each year of service in the position beyond three years, an additional month is added to this minimum, up to a total of six months. The same provisions for notice pertain to early termination of an academic appointment.

Different requirements for notice pertain to senior lecturers and lecturers. A one-semester notice of termination must be provided to lecturers and senior lecturers who have had at least two but not more than three years of continuous service, and a two-semester notice must be provided to those with more than three years of continuous service (excluding summers).

In some situations no notice is required. These include (1) an appointment clearly communicated as being non-renewable; (2) the termination of a grant or contract that is the sole source of salary for the staff member and for which the staff member is the principal investigator; (3) situations in which the staff member is not paid through Cornell; (4) cases in which the staff member is dismissed for cause.

Faculty Members in Probationary Tenure Status

Most commonly, a person entering a tenure-track academic career is given a three-year appointment at the assistant professor level. Toward the end of each year of this appointment, the faculty member should review his or her progress with the department chairperson or with a mentor among the department's senior faculty members. In the third year, the department conducts a more thorough performance review. If the outcome is positive, it is normal for a renewal for a second three-year term to be recommended for approval by the dean.

If the outcome of the review is negative, the faculty member must be given a terminal appointment that allows him or her to serve two full academic terms after written notice of nonrenewal. If the faculty member clearly is not meeting expectations, the notice not to renew the appointment may be given earlier than the third year. In that case, the next year of the initial appointment serves as the required two terms of notice.

The procedures for appealing a decision not to reappoint a nontenured faculty member who holds an initial probationary-tenure-status appointment are attached as appendix three or may be located on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).

2.3 TENURE

University Criteria

In 1983, the Faculty Council of Representatives (the forerunner of the current Faculty Senate) adopted a resolution expressing its concern for affirmative action in tenure appointments. Subsequently, the resolution was incorporated into the University Criteria for Tenure Appointments as follows:

It is not possible to establish, at the university level, detailed criteria for tenure appointments for the many academic units in the university. The basic criteria are clear: excellence in carrying out the responsibilities of the position, and unusual promise for continued achievement. Since the requirements and criteria of a department may change, each decision is a separate action and independent of any other current or previous decisions within or outside the department.

The responsibilities of a faculty member include teaching, research and other scholarly achievement, public service, advising students, and contributing to the department, the college, and the university. Not all faculty members are assigned all these responsibilities. The emphasis given to each responsibility, as determined by existing circumstances, varies among the colleges and departments of the university and may change within a department.

The department, the chairperson, and the dean have the responsibility of weighing the different roles of each faculty member and evaluating the strengths and weaknesses of the candidates for tenure, taking into account the mission and needs of the department and the college. These include the interests of the unit and the university to promote racial, ethnic and gender diversity among the faculty. But regardless of how the department weighs the relevant factors in any particular case, no candidate may be granted tenure who does not meet the requirements for overall excellence.

Failure to meet any of the diversity factors may not be used as a negative element in the evaluation of any candidate.

Given the rigorous standards for tenure at Cornell, individuals whose performance has been acceptable, or even of high quality, may not receive promotion. Many candidates for tenure, in evaluating their own progress, often develop unrealistically positive attitudes relative to their chances for promotion. On the other hand, across the university, only about one-half of the candidates for tenure are promoted.

Since a tenure appointment is not a right, and since it could result in a collegial relationship within the department for a period of decades, the department faculty has considerable latitude in reasons for making a negative recommendation. However, such factors as race, color, creed, religion, national or ethnic origin, sex, sexual orientation, age, or disability must not be a basis for such decisions.

Time Period Prior to Review for Tenure

The initial appointment to the Cornell faculty of a highly qualified person who is already credited with significant achievements may be at the rank of associate or even full professor, but without indefinite tenure. Such appointments are for a limited term of not more than five years, typically in a probationary tenure status. That is, the award of tenure is deferred until the faculty member and the university become well-acquainted and a review leading to the long-term tenure decision is possible.

More commonly, however, tenure is awarded, along with promotion to the rank of associate professor, after a person has spent a period in probationary tenure status as an assistant professor. The length of that period depends on the amount of professional experience the individual has acquired between earning the terminal degree in his or her field and the initial appointment as assistant professor. If that period is no more than a year or so, the candidate is usually reviewed for promotion and tenure in his or her sixth year at Cornell, typically the third year of the second term of appointment as

assistant professor. Then, if the outcome is negative, a one-year terminal appointment is provided in the seventh year.

According to university bylaws, a faculty member may not hold the position of assistant professor for more than the equivalent of six years of full-time service, unless, in the judgment of the provost, a temporary extension is warranted.

A department is not bound to undertake a tenure review for all those on the tenure track. The appointment of a faculty member for a definite term may be terminated for reasons involving staffing patterns, the decline in relevance of a research area to the mission of the department, or lack of funds. In such a case, the faculty member should receive written notice as early as possible that there will be no review and should be given a one-year terminal appointment. He or she should be informed of other suitable open faculty positions in the university. The faculty member may appeal the decision not to conduct a tenure review. The procedures for such an appeal are attached as appendix four or may be located on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).

Review Process for Tenure

Permission to initiate a review for tenure must be obtained from the dean, because it commits the college or school to long-term support of the position. When a review for promotion to tenure is conducted, it is required to be thorough and well-documented, since the decision that is made is of far-reaching importance both to the individual and to the university. The first step in the process is a review of the candidate by the faculty of the department. For this purpose, and with the assistance of the candidate, a complete vita and list of publications are assembled, together with copies of the most relevant of the publications. Typically the candidate is asked to submit statements of goals and achievements in research, teaching, advising and extension/service. Documentation of success in teaching is collected, in the form of course-evaluation questionnaires and letters from both selected and randomly chosen graduate and undergraduate students. Evidence of service to the community, the department, the college, and the university is compiled. Letters are solicited from colleagues in the university and from outside experts to provide an evaluation of the quality of the candidate's creative work and its impact on the scholarship of the field.

The aim of the review is to assess the achievements of the individual during his or her probationary period, as well as the promise shown for growth and further achievement. The detailed procedures by which the department conducts its assessment vary, but they must include the basic elements mentioned above as well as: (1) making the documentation gathered during the review available to the tenured faculty members of the department, (2) holding a meeting of the tenured faculty members for the announced purpose of discussing and voting on the promotion in question, and (3) taking the vote. There is no general prescription for interpreting the vote; some departments do not consider such a vote positive unless the margin of positive over negative votes is quite large. In any case, the department chairperson is not bound by the vote, though he or she must report it to the dean. The chairperson represents the department in making and explaining to the dean the department's recommendation for or against the promotion.

If, after a tenure review is carried out, the department's tentative tenure decision is negative, it is communicated to the candidate before being given to the dean, and the candidate has an opportunity to request a reconsideration by the department. The procedures for this are attached as appendix five or can be located on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).

After the department's initial review and any reconsideration are completed, the decision is reviewed at the college level by the dean. If the department's recommendation is positive, the dean must appoint an *ad hoc* committee of faculty members outside the department to study the evidence and advise him or her in reaching a decision. Even if the department's recommendation is negative, the candidate may still request that the dean appoint the *ad hoc* committee.

Faculty Advisory Committee on Tenure Appointments

The Faculty Advisory Committee on Tenure Appointments (FACTA) advises the provost on all proposed promotions to and appointments with tenure as well as proposed denials of tenure by a dean after a positive recommendation from the department.

Positive Recommendation by the Dean

If the dean's recommendation is positive, it is reviewed by FACTA. Four members of the committee are chosen at random to read each file. If all four members are positive with no concerns or reservations, a positive recommendation is forwarded to the provost.

If any one of the four has reservations, each member of the full committee reviews the file. The committee's decision is sent to the provost within four to six weeks of receiving the file.

Negative Recommendation by the Dean

If a dean reaches a preliminary decision to deny tenure to a non-tenured faculty member whose promotion to tenure has been recommended by his or her department, the dean within three weeks of that decision furnishes the candidate and the department with a preliminary written statement of the reasons for that decision and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the dean's statement, the candidate and/or department has the opportunity to respond to the dean. If, following this response, the dean is not persuaded to change the decision to deny tenure, the dean forwards the file, together with an explanation for the decision, to the provost. If the provost does not have any concern or reservation about the dean's proposed decision, she or he informs the college dean, and the decision becomes final and subject to appeal. If the provost does have a concern or reservation, she or he forwards the file to FACTA, for consideration at a meeting of the full committee, following the procedures used by the committee in cases following positive recommendations by the dean. After receiving FACTA's recommendation, the provost consults with the dean. Until the dean has

received a response from the provost, the dean's decision remains provisional. The University Level Appeal Procedure (appendix five or available on the University Faculty website, <http://web.cornell.edu/UniversityFaculty/docs/main.html>) does not commence until the dean's decision is final, and is not supplanted in any way by FACTA consideration. Positive tenure recommendations are ultimately presented by the president to the Board of Trustees for consideration. The final decision regarding tenure is made by the Trustees. The decisions of the provost and of the Trustees are not subject to appeal.

2.4 PROMOTION

Time Period Prior to Review for Promotion to Full Professor

Associate professors with tenure are normally considered for review for promotion to professor in the sixth year of such an appointment. At that time, the chairperson of the department convenes a meeting of the full professors to decide whether a formal review for promotion should be initiated. If the full professors decide not to initiate a review, the chairperson will discuss their decision with the candidate. The candidate may request a formal review at that time, and his or her request will be granted automatically. If the candidate agrees to a postponement, the chairperson will, at the beginning of the following year, consult the full professors and the candidate again, and initiate a formal review unless the candidate requests that the review be postponed. If the candidate has not been reviewed at least once after serving as an associate professor for seven years, the chairperson will consult the candidate at least triennially and will initiate a formal review unless the candidate does not want one. If a department chairperson is an associate professor and is subject to a review, it is the responsibility of the dean to conduct the discussions or to assign the responsibility to a senior member of the department.

If a candidate has received a formal review that has not culminated in a recommendation of promotion, the candidate may, after two or more years have elapsed, request a second review, and this request will be granted. (If the first review was unsuccessfully appealed, the two years are measured from the time of the appeal committee's decision.) There is no upper limit to the time a faculty member may serve in the rank of associate professor.

Review Process for Promotion to Full Professor

The criteria for promotion from associate professor with tenure to professor are excellence and potential in teaching, research, or extension, and a judgment on whether the individual has fulfilled the promise on which tenure was originally granted. In all colleges, a department review is required, and a detailed rationale for the promotion must be submitted to the dean or director along with the vote of the full professors among the faculty.

The department procedures applicable to the promotion to professor are the same as those outlined above for the award of tenure, except that it is the vote of the full professors (tenured, if the candidate is tenured) in the department which is taken and

recorded. The documentation need not be as extensive as it is for promotion to tenure, and the setting up of an *ad hoc* committee is at the dean's discretion unless the recommendation of the department is negative and the candidate requests such a committee. If research is one of the candidate's responsibilities, the dean may want to seek the advice of an *ad hoc* committee, since external opinions should be sought on such a candidate's accomplishments and promise.

The dean is not bound by the recommendation of the department as expressed by the chairperson. If the dean disagrees with the judgment of the department, he or she will—if this has not already been done—set up an *ad hoc* committee. If the dean reverses the department decision, he or she will forward all the materials, including the *ad hoc* committee's report, to the provost for review. Promotions from associate professor with tenure to professor are made on the authority of the provost.

Procedures for appealing a negative decision on promotion to full professor are attached as appendix six or may be located on the University Faculty website (<http://web.cornell.edu/UniversityFaculty/docs/main.html>).