Academic Appointments

POLICY STATEMENT

Enter Policy Statement Here

REASON FOR POLICY

Enter the Reason for the Policy Here

ENTITIES AFFECTED BY THIS POLICY

– All units of the university

WHO SHOULD READ THIS POLICY

– Those who will be responsible for reading and understanding this policy in order to implement the associated procedures; persons who must understand the policy in order to do their jobs; and people who are affected ultimately by the policy.

WEB ADDRESS FOR THIS POLICY

– This policy: www.policy.cornell.edu/
  – University Policy Office: www.policy.cornell.edu
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Academic Appointments

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CONTACTS

Direct any general questions about this policy to your college or unit administrative office. If you have questions about specific issues, contact the following offices.

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DEFINITIONS

These definitions apply to terms as they are used in this policy.
RESPONSIBILITIES

The major responsibilities each party has in connection with this policy are as follows:

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PRINCIPLES

Overview

An academic appointment connects a qualified, selected, authorized individual to an academic title for a designated period and set of responsibilities or affiliation. Assignment of an academic title is based on such criteria as academic responsibilities and professional achievement. The Board of Trustees’ Bylaws of the University set limits to the duration and renewability of appointment to a given academic title. Pursuant to these Bylaws, the Trustees may approve unlimited duration (“indefinite tenure,” also called “tenure”) for certain professorial appointments. Please consult Appendix A for Academic Appointment Terms and Authority.

Academic appointment may require Trustee action; if not, approval is under the purview of presidential authority, exercised by the provost and through administrative procedures. Appointment requires both academic approval and fulfillment of administrative procedures.

Faculty-legislated and affirmative action/equal opportunity search requirements typically govern the processes for selection of individuals for appointment to academic titles. Please consult Appendix B for Academic Titles Subject to Affirmative Action Search Requirements.

For its duration, appointment invokes the responsibilities, terms and conditions, and privileges that accompany the title. The responsibilities of every academic appointment include compliance with the policies of the university, the major academic unit and the local unit to which the individual is appointed.

Authority to Make Academic Appointments

Only the Board of Trustee or the President, acting through procedures applicable to specific levels of appointment are authorized to make academic appointments. Faculty members do not have authority to make academic appointments. The authority for each level of academic appointment and their terms are listed in Appendix A. Local academic authority and administrative approvals also pertain.

An academic appointment also requires approval through administrative authority; an appointment is not final until central university administrative processes have been fulfilled, as exercised through review by Human Resources during processing of the appointment package and transaction.

◆Note: Faculty members do not have authority to make academic appointments, even if the supporting funds come from research grants supervised by the faculty member.

Authority to Create Academic Appointments

New academic positions must be authorized. Procedures vary by college or school and by unit.
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### PRINCIPLES, continued

| Affirmative Action and Equal Employment Opportunity | 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 Bylaws of the University, in the Article on “Equal Educational and Employment Opportunity,” state:
| | “It is the policy of the University actively to support equality of educational and employment opportunity. Explicit policy statements to this effect, as approved by the Board of Trustees from time to time, shall be publicized widely for the information of present and future students, faculty, staff and other employees. They shall be binding on all University personnel.”
| | The current statement may be found at [www.hr.cornell.edu/diversity/eeeo/statement.html](http://www.hr.cornell.edu/diversity/eeeo/statement.html).
| | A position designated by the provost leads – in cooperation with the Vice President for Human Resources – on academic appointment issues relating to diversity and inclusion, affirmative action, and equal opportunity. The designated office establishes procedures for and monitors academic searches to ensure that they are consistent with the Trustees’ policy and Cornell’s leadership commitment, as well as employment law, and that there is a good faith effort to have significant diversity and depth in the applicant pools.

| Search Requirements | ◆**Note:** For professorial appointments, in addition to the search procedures described below, Cornell University Faculty legislation pertains, available in Appendix C.
| | Authority to initiate an academic search comes from a dean, the university librarian, or in the case of centers, from an executive officer. Provost’s approval also will be necessary for a search involving high-profile, special procedure titles, such as senior scholar, senior scientist or university professor.
| | Except in rare and 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. Academic titles for which open positions are also subject to affirmative action search requirements are listed in Appendix B. Exemptions or waivers from search requirements in certain cases are set forth in the Academic Search Exceptions and Waivers policy (LINK).
| | Before a search is begun for any appointment to a regular (unmodified) academic title, an affirmative action search plan must be submitted to the dean or executive officer for approval and also to the office designated by the provost for leadership in academic diversity and inclusion – this office assists the dean’s office and the search committee with affirmative action aspects of the search. The formal affirmative action search process is outlined in “Academic Search Protocols,” ([www.cornell.edu/diversity/docs/Academic_Search.Protocols.pdf](http://www.cornell.edu/diversity/docs/Academic_Search.Protocols.pdf)) and may be facilitated by online systems known to a unit’s human resource representative or business service center.
PROCEDURES: ACADEMIC SEARCHES

Posting Vacancies
To ensure compliance with state and federal laws, regular positions must be posted. Equal opportunity and affirmative action regulations require that Cornell University list positions with the local Department of Labor, Employment Services Office. Cornell complies with affirmative action requirements by requiring that vacancies be posted for at least five working days via the Jobs at Cornell internet site. In addition, it may be important to advertise openings through print and electronic media, particularly to develop a deep and diverse pool of applicants. To ensure compliance with regulations, all recruitment advertising must be approved by the unit’s human resource representative prior to placement.

◆ Note: To allow for flexibility in the recruitment and appointment of individuals to fill tenure track positions, the determination on what rank and individual will be appointed at will be reserved until completion of the hiring process and will be dependent upon the qualifications of the applicant being considered. As a result, where this flexibility is requested, postings and listing may appear as “Assistant/Associate Professor.”

Academic Search Protocols
The Academic Search Protocols include requirements for maintaining a database of applicants (defined in the non-academic “Filling Vacancies” policy as “any person who applies in accordance with the stated directions for a specific and discrete open position” – this includes meeting stated qualifications, such as educational degree); sending an acknowledgement letter including reference to the applicant’s entering information on the Data Flow website (legally seeking data about applicants’ status in federally protected classes); and, during final hiring and appointment processes, reporting about the results of the search formally and auditably (consult the Protocols).

When a search for an academic position has been concluded with approval by the head of the academic unit, the recommendation that a candidate be appointed must be presented to the dean, librarian, executive officer or designee; subsequent academic approvals may be necessary (please consult the “Authority to Make Appointments,” section of this policy, and Appendix A: Academic Appointment Terms and Authority; for administrative aspects of transacting an academic appointment please consult “Fulfillment of Central University Administrative Procedures of Appointment,” later in this policy.)

Responsibility and timeframes for retaining search records are specified in University Policy 4.7, Retention of University Records (www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/governance/retention.cfm), in Table 2 of Procedures regarding non-student records – in case of a compliance review it is incumbent on the offices designated in the Retention of University Records policy to produce these records.
PROCEDURES: ACADEMIC SEARCHES, continued

Describing an Academic Position

When an academic role is envisioned, major considerations in determining the range of available academic titles include the expected responsibilities or the nature of the affiliation, an anticipated faculty role, and available resources. Further information is available in the Academic Titles policy (link).

Responsibilities or the nature of the academic affiliation should be articulated, refined and reviewed, as should the locus of the appointment, reporting relationship, and supervision to be exercised. This articulation will be used in identifying an appropriate academic title, obtaining approvals, conducting a search or discussing affiliation, and preparing offer and appointment letters. Financial and other resources should be identified and whether they are short-term or renewing.

Review of the proposed academic position should include assessment of whether the responsibilities are primarily academic. Many leadership positions are non-academic. A unit’s Human Resource representative can inform this discussion.
PROCEDURES: FACULTY SELECTION AND APPOINTMENT

Faculty Legislation on Selection of New Professorial Faculty Members

Faculty Appointments

Faculty legislation expresses university policy procedures for appointment to the faculty including the following steps:

1. Preliminary Analysis of Candidates
2. Interviews
3. Selection
4. Supplementary Action

For more information on selection criteria, plus consult Appendix C of this policy.

Appointments of Dean, Chairperson, and Directors

Deans, associate deans, assistant deans, chairpersons, and directors do not necessarily have academic status (please consult the Academic Titles policy). By tradition at Cornell, however, deans, chairpersons, and directors of academic units have faculty status by virtue of their professorial appointments. Associate deans frequently have professorial appointments, and assistant deans sometimes do. If the individual has an academic title, the appointment is handled as an administrative assignment within an academic appointment. If not, it is considered to be a nonacademic appointment.

Deans, directors or other heads of the principal academic units are elected by the Executive Committee, upon recommendation of the Provost or Provost for Medical Affairs, as appropriate, and the concurrence of the President, and shall hold office at the pleasure of the President in consultation with the Board. Please consult Appendix D of this policy for more information.

Fulfillment of Central University Administrative Procedures of Appointment

Academic appointment requires fulfillment of administrative procedures and does not become official until the appointment package and transaction have been reviewed by Records Administration in the Division of Human Resources and approved by Records Administration as having complied with administrative policies and procedures, with the appointment information entered through Records Administration into the university’s central appointment systems.

Appointment transactions usually originate administratively at the department or other local level or the designated business service center office. Materials to accompany a new appointment’s transaction include such items as the approved report on the search or a copy of the approved waiver of search, the I-9 form required by the federal government, the appointment letter and the “Invention and Related Property Rights Acknowledgement” form (successor to the “Patent Agreement”). The Division of Human Resources also requires items for payroll and tax purposes and to establish identifiers for use of the university’s computer services.
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PROCEDURES: FACULTY SELECTION AND APPOINTMENT, continued

New professors and other academic staff whose qualifying degrees have been awarded in the past year must provide proof of the degree (e.g., photocopy of the diploma, letter from the degree-granting institution).

Selecting Associate Professors and Professors

Since new appointments of associate professors and professors in probationary tenure status are expected to result in tenure review after a shorter period, the selection evaluation should be rigorous. Prior approval of the dean is required before such offers can be made, and the dean should consult with the provost. Letters of appointment should note carefully the tenure status of the position; the maximum length of the tenure clock at these ranks is five years, rather than six. For more information, please see the Tenure and Promotions policy (LINK).

Appointment Letters

Letters of appointment for professorial appointments and for non-professorial titles usually require approval from the office of the dean or vice president to whom the unit reports.

Appointments conferring tenure require the approval of the Board of Trustees, and the official letter notifying the professor of Board approval of tenure comes from the President. For new appointments with tenure, the timing of the Board meetings may preclude the appointment letter’s stating that tenure has achieved final approval. Procedures for such cases are discussed in the Tenure policy.

Letters of appointment may not be transmitted until the search requirements (including reporting and approval) have been fulfilled. Please consult Appendix D for more information on appointment letters.

Invention and Related Property Rights

Cornell University Policy 1.5, Inventions and Related Property Rights (www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/academic/inventions.cfm) in January 2008 implemented the following provision (replacing what had been known as the Patent Agreement):

“Each individual receiving a university appointment to an academic position, including clinical and affiliation appointments and those with modified titles (visiting, adjunct, courtesy, etc.) ... must execute the ‘Invention and Related Property Rights Acknowledgement’ form, acknowledging awareness of the terms of this policy. ... Initiation of the university appointment is conditioned on completion and submission of this form.”

This procedure applies also to graduate students appointed on research assistantships, graduate research assistantships, fellowships, and training grants, and certain nonacademic positions designated by the Vice Provost for Research.

Further information is available at www.research.cornell.edu/VPR/Policies/. 
PROCEDURES: REAPPOINTMENT AND PROMOTION

Reappointment

Reappointment of a person on a 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 from the department chairperson and the dean or director of the academic unit is required for reappointment.

The Bylaws of the University, in the Article on “The Instructional and Research Staff” state:

“Holdover: Members of the academic staff appointed for definite periods shall not hold over, and their connection with the University shall cease at the expiration of said periods unless they are reappointed.”

The connection with the University of academic staff members appointed for definite periods ceases at the expiration of the term of appointment unless they are reappointed. The periods of notice the University requires for an individual who will not be reappointed are given in the “Appointment Termination” section of this policy, “Nonrenewal or Early Termination of Term Appointments.”

A special and important case of reappointment involves faculty who are on the tenure track. The policies and procedures for these reappointments can be found in the “Tenure” section of this policy.

Review for Reappointment or Promotion, and Requests for Reconsideration

The following guidelines on procedures for review of academic reappointments and promotions were approved by the Executive Committee of the Board of Trustees on January 29, 1976 (Records, p. 9198):

“Each college and school shall set forth in writing its internal procedures for making recommendations on the reappointment, promotion, and/or tenure of faculty and academic professional staff members. *

** Included within the ranks of faculty and academic professional staff members are those men and women holding appointments as Professor, Associate Professor, Assistant Professor, Instructor, Senior Lecturer, Lecturer, Senior Research Associate, Research Associate, Senior Extension Associate, Extension Associate, or Postdoctoral Associate, the academic staff of the University Libraries consisting of Associate Director, Assistant Directors, Librarians, Associate Librarians, Senior Assistant Librarians, Assistant Librarians, Archivists, Associate Archivists, Senior Assistant Archivists, and Assistant Archivists. Not included are degree candidates having appointments such as Teaching Assistant, Research Assistant, or Graduate Research Assistant.”

“College and school procedures should include the following as a minimum set of requirements on the review of decisions:
“1. Notification: Faculty and academic professional staff members will be informed in writing if an adverse decision is made with respect to their future status. If the faculty or academic professional staff member so desires an explanation of the principal reasons for the decision it will be provided in writing.

“2. Informal Review: A faculty or academic professional staff member shall be afforded an opportunity to discuss an adverse decision and the explanation for it with his or her department chairman or Dean, as appropriate.

“3. Request for Reconsideration: If, after informal discussion, a faculty or academic professional staff member so desires he or she may request formal reconsideration as follows:

“a. When a decision has been communicated by a department or division chairman in a school or college, a request for reconsideration should be directed to the Dean of the school or college within 30 days of notification in writing of the initial decision.

“b. When the adverse decision has been communicated by a dean initially or after review of a departmental decision or by a director of an independent center or unit, a request for reconsideration should be directed to the President of the University within 30 days of notification in writing of the initial decision.

“c. In requesting reconsideration, a faculty or academic professional staff member should set forth in detail the reasons why reconsideration is believed appropriate and why the initial decision is deemed inappropriate or unfair.

“4. Review Procedures:

“a. The President or dean shall review the decision to determine whether appropriate procedures have been followed and/or whether the initial decision or the concurrence with or denial of reconsideration was arbitrary or capricious.

“b. The President or dean shall respond to the request for reconsideration in writing within a reasonable period of time, not to exceed 60 days.

“c. The decision of the President is final in all cases. In accordance with University Bylaws, significant weight will be accorded the initial decision of the appropriate academic body or officer. The President may seek the advice of the Committee on Academic Freedom and Responsibility in his review.

“5. Confidentiality: All records, communications, reports, and correspondence shall be held in confidence throughout the initial decision and review process.”

End of Trustee Legislation

On May 30, 1981, the Executive Committee of the Board of Trustees voted to modify these Guidelines on College Procedures for Review of Academic Reappointments and Promotions, adopted by the Trustees on January 29, 1976, by the addition of the legend,
PROCEDURES: REAPPOINTMENT AND PROMOTION, continued

“These procedures shall apply except for those situations covered by the Trustee Legislation on appeal procedures of May 30, 1981.” These refer to the procedures related to appeal of tenure decisions and decisions about promotion from associate professor to professor (please consult the Tenure Policy and the Faculty Handbook).

A request for reconsideration, even if the decision is reopened, does not extend a term of appointment nor does external litigation. If an individual is reinstated as a result of a review or litigation, the responsibility lies with the University. However, the financial responsibility will be expected to be borne by the college or division.
Joint Appointments

A faculty member with a joint appointment has academic duties in two or more units of the University. Joint appointments involve shared responsibility but not necessarily shared financial support. The appointment procedure in each unit follows the normal pattern for that unit. Joint titles, such as professor of chemistry, physics, and mathematics, may or may not be conferred. Faculty members with appointments in more than one college are members of the faculty of each college. Individuals may teach or direct research of students in other colleges without having joint appointments.

When the salary comes from only one of the units involved, the procedures and decisions on salary and promotion are those of that unit, although consultation with the other department is appropriate. When the financial responsibility is shared, the chairpersons or directors involved must agree on salary increments. If an agreement cannot be reached, the matter is resolved by the appropriate deans, or, failing that, by the provost. A joint appointment with shared percent-effort is called a dual appointment.

A faculty member on the tenure track who is jointly appointed with a shared financial responsibility must understand the joint responsibilities. The two department chairpersons or directors must consult periodically about the progress of the faculty member. The appropriate deans, in consultation with the provost, determine the procedures to be followed in the tenure decision and inform the candidate. Even when a faculty member receives salary from more than one source, normally one of the units is primarily responsible for the tenure decision, and the appointee is so notified in writing.

A joint appointment involves academic duties in two or more units. While faculty members may have nonacademic responsibilities, such as those of the vice provost, for which they receive compensation, they are not considered to have joint appointments.

The terms and approval for joint appointments are the same as those for the non-joint appointments, except that the approval of each department chairperson, dean, or director is required.

Joint appointments are possible for all academic titles, including those titles modified by acting, adjunct, courtesy, and visiting.

Please also consult the section on “Appointments in Centers and Programs.”
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## PROCEDURES: JOINT AND PART-TIME APPOINTMENTS, AND APPOINTMENTS IN CENTERS AND PROGRAMS, continued

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<td>When a center or a program pays part of the salary of a faculty member on a joint appointment, the center or the program reimburses the college for that fraction of the professor’s time devoted to center or program activities. Usually the payment is used to hire temporary personnel to compensate the department and the college for the loss of the professor’s activities. The funds may also be used to provide research, clerical, or other help to the individual involved (anyone so employed should be made aware of the temporary nature of the position). In no case do the funds go directly to the faculty member, nor can they be used for long-term commitments. If such a joint appointment is terminated, the college is responsible for paying the full salary to the faculty member out of college funds.</td>
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<td>Salary increments for professors jointly appointed in a center or a program should be established by the department chairperson and the center or program director. If these two parties cannot agree, the provost determines the increment after consulting with the chairperson and the director.</td>
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<td>When an assistant professor starts work in a center or a program, the director, the faculty member, and the department chairperson should meet to discuss the proposed research program and its effect on the future tenure decision. Similar discussions should be held periodically to make all parties aware of the differences between the department’s evaluation of the research program and the center’s or program’s evaluation. The department should seek the director’s advice in making the tenure decision.</td>
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## Appointments without Department Affiliation

A center or a program may make a professorial term appointment only if the person (a) has teaching responsibilities, (b) is of professorial quality, and (c) is unable to obtain a joint appointment for reasons other than quality, such as the lack of an appropriate department to make any commitments in the special area of the appointment.

To make such an appointment, the center or program director must furnish the appropriate vice president with the complete credentials of the candidate, a statement of why departmental affiliation was impossible, and statements from the appropriate dean or deans. Centers and programs cannot grant tenure, and the letter of appointment must state that the appointment is for a specified term with no possibility for permanent tenure in the center or program.

## Part-Time Appointment

Part-time appointments are possible for all academic titles. Such appointments are made when the position requires less than full-time service, when there are funding limitations, or when the individual is not available full-time. Except in unusual situations or in cases of adjunct and courtesy appointments, the minimum amount of
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PROCEDURES: JOINT AND PART-TIME APPOINTMENTS, AND APPOINTMENTS IN CENTERS AND PROGRAMS, continued

time that the staff member may commit to the University during the period of appointment is 25 percent. For membership in the University Faculty the appointment must be for at least half-time.

Joint appointments are not considered part-time appointments. However, an individual whose salary comes partly from a professorial appointment and partly from a non-professorial position is considered a part-time faculty member of the University Faculty. When an individual is awarded tenure on a part-time basis the financial commitment is limited to the portion of salary associated with the professorial appointment. According to faculty legislation, tenure or probationary tenure status is possible only for professors who are on at least half-time appointments (please consult faculty legislation below).

Adjunct professors are by definition on part-time appointments. Since the primary responsibilities of adjunct professors are external to the University, they are not eligible for tenure.

Due to the nature of an academic appointment, it is not possible to translate the terms part-time and full-time into numbers of hours. When part-time appointments are made, it is the responsibility of the appointee and the department chairperson or other cognizant individual to agree on the duties involved. More information on part-time appointments can be found in Appendix F of this policy.
PROCEDURES: APPOINTMENT CONFIGURATION - COMPENSATION, BENEFITS AND TERM

Exceeding 100 Percent of Full-Time

Individuals may not hold a combination of appointments which exceed 100 percent of full time. Internal consultation, inter-college compensation, and supplements for special duties are excluded from this policy.

For faculty, the “Cornell University Conflicts Policy” (www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/governance/conflicts.cfm) states:

“Faculty who accept full-time appointments have a primary commitment which includes meeting classes, being available to students and colleagues outside the classroom, serving departmental, college, and University committees, conducting research, publishing scholarly works, and otherwise meeting the changing needs of the University. Those holding Cooperative Extension appointments have specified obligations of service to the public.

“Although a specific work week is not defined for faculty members, it is expected that such membership constitutes a full-time obligation and that, with the exceptions explicitly permitted by University policies on consulting and other related professional activities ... , they will not engage in other employment.”

Nine-Month and Twelve-Month Appointments

Endowed units

Endowed academic staff on continuing nine-month appointments receive their salaries over a twelve-month period. Since such appointments are normally for the period from the beginning of July to the end of June, these individuals receive salary payments in July and August for responsibilities that are to be performed during the Fall Term. Thus, academics who receive salary checks in July and August and do not assume the responsibilities of the position in the Fall Term have received unearned income. In such cases, the money must be returned to the University. Similarly, actions that terminate appointment prior to June 30 may merit calculation of post-pay due for work already performed.

New faculty members on nine-month appointments who begin their service at the start of the fall term are paid their salary over that period. In the endowed units, with written approval from the dean, a faculty member on a nine-month appointment who is on campus at the beginning of July for duty that begins in the Fall may begin receiving a salary in July; this salary in July and part of August is prepaid. If the appointment is continued beyond the first year, the individual is automatically converted to a twelve-month salary schedule beginning July 1.

New faculty members whose responsibilities begin in the Fall may be appointed beginning in July even though they are not on campus or will arrive during the
summer. An appointment is useful to new individuals, even though they are not on the payroll, in arranging for parking privileges, library usage, etc.

Contract College Units

Contract College units follow essentially the same procedures as the endowed units except that they cannot be prepaid for July and August if their appointment begins in the fall term. New York State prohibits payment for income that is not yet earned.

Benefits for Those on Year-to-Year Appointments

Some individuals on one-year appointments are continued on a year-to-year basis, depending on the availability of the position for the following year. If the appointment termination transaction indicates reappointment for the following year, benefits may be continued through the summer months. Such benefits are billed through the Division of Human Resources.

Benefits information for all appointees is available from Benefit Services in the Division of Human Resources www.hr.cornell.edu/benefits/.

Appointments on Grants and Contracts

The Bylaws of the University, in the Article on “The Instructional and Research Staff” state:

“Appointments on Outside Funding: All appointments to the staff of instruction and research which are funded from non-University sources (e.g., federal or state appropriations, research or other service contracts or grants) shall be subject to modification or termination in the event that such funding shall cease to be available to the University for such purposes.”

Non-faculty Appointments

Even though funds from federal grants and contracts may be awarded for more than one year, there is usually a disclaimer limiting assurance of funding to one year. Research associates and senior research associates, whose support frequently comes from federal funds, can be appointed for up to three and five years, respectively. However, appointments to these positions are normally for one year because of the uncertainty of funding. To recruit the most promising candidates, it is sometimes necessary to discuss the possibility of reappointment. Letters of appointment in such cases should state as criteria for reappointment both satisfactory performance and the availability of funds. Problems arise in the definition of “availability of funds.” Professors frequently have federal funds from a variety of sources for different purposes and may receive new funds but at a reduced level. A suggested statement, with two modifications to be used if appropriate, is as follows:

Reappointment is dependent on satisfactory performance [or, in the case of those already in service, “continued satisfactory performance”] and contingent on the
level of funding I receive in support of my research project, __________ [or, in the case of larger projects, “continued support of the __________ project”].

When longer-term appointments are necessary, the college or the center must state in writing its willingness to back up the appointment with a stable source of funds in case federal money is not forthcoming, or qualify the appointment as follows:

This appointment may be terminated or modified before the end of the term of appointment if continued federal funding for my research in the area of __________ [or “for the __________ project”] is withdrawn or reduced.

In the case of foundation and some other types of sponsored research, funds are committed for the entire period of the activity, making it possible to make unqualified appointments for the period of support, within the allowable term for such appointments.

Faculty Appointments

Faculty may charge a portion of their academic year salaries directly to research grants and contracts. This situation in no way modifies the commitment of the university to tenured faculty members. The salary and fringe benefits charged to a research grant or contract during the period (nine or twelve months per year) of a faculty member’s full-time appointment do not flow to the faculty member as extra compensation, since they represent remuneration for work done during the time of the faculty member’s obligation to the university. These funds may be placed in university accounts under the jurisdiction of the faculty member and expenditures therefrom used for any legitimate university purpose.

If no vacant budgetary line exists, a college or a department cannot make a faculty appointment on external funds without prior approval from the dean and the provost. Such approval will be granted only for a short period and only if it can be demonstrated that unrestricted funds will soon be available.

Supplemental Summer Employment

Faculty members on appointments requiring nine months of service may accept compensated summer employment in the university (e.g., in the university summer session or in connection with sponsored research projects under university auspices) or elsewhere. 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 (please consult University Policy 6.2.1, Leaves for Professors and Academic Staff (www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/humanresources/leaves.cfm), Appendix A).

The normal maximum period for charging summer salaries to Cornell is 2.5 months. Faculty members wishing to receive more than 2.5 months of summer salary, irrespective of source of funds, must complete the University’s Summer Salary
PROCEDURES: APPOINTMENT CONFIGURATION - COMPENSATION, BENEFITS AND TERM, continued

Request and Attestation form and obtain the written approval of their college dean. The attestation may be found at www.research.cornell.edu/VPR/Policies/images/pdfs/Summer_Salary_RequestAttest.pdf. The National Science Foundation limits faculty members to a total of two months NSF-funded salary per fiscal year from all NSF awards combined. Summer salary from all university sources combined is limited to three months.

All compensation for summer employment at Cornell must be for time actually spent in connection with the project or university activity during the officially designated summer period. During periods of support by sponsored project funds, faculty activities must be limited to those allowable on the sponsored award. Notably, proposal writing cannot be undertaken during a period where 100% of the funding is from sponsored projects. Regardless of the source of support, faculty with academic year (nine month) appointments are not permitted to take vacation during the period for which they are receiving summer support. The monthly summer salary rate cannot exceed one-ninth of the amount of the base academic salary during the ensuing academic year. The monthly summer salary rate for those who will not be employed at Cornell during the ensuing year cannot exceed one-ninth the academic year rate for the preceding year.

Summer salary is paid semi-monthly, throughout the summer period (nominally May 16 – August 15, as adjusted by the university calendar). Payment dates should correspond with the periods of work, and payments cannot be made in lump-sum (e.g. one payment for two months) form.

For further information contact Sponsored Financial Services (5-2016) or the Office of the Senior Vice Provost for Research (5-7200).

Inter-College Compensation

The practice of paying extra compensation to faculty members employed regularly in one division of the University for temporary services in other divisions could, if unregulated, be abused and might easily undermine the salary structure of the university. When it is necessary, however, and under certain clearly defined conditions, the divisions of the university are permitted to pay qualified members of the faculty for specialized teaching, research, and consulting services.

◆Note: An honorarium is a token payment generally paid as a means of saying “thank you” for one-time participation in a class or event. Under tax law, such payments to Cornell faculty must be processed through payroll. Honoraria generally do not exceed $500 and these minor, token payments are not subject to the procedures defined below. Please consult the Cornell University Payment and Tax Services Office www.dfa.cornell.edu/payments/ for further information.
University Policy

Limited and temporary service – such as a single lecture to a scheduled class or a single meeting for consultation – rendered by a faculty member of one division to another division is part of the normal obligation of the faculty member to the University and should therefore be rendered without compensation. The work involved should either be of clear benefit to Cornell or render significant service to the community at large. Inter-college consulting and services are subject to the normal college and university policies on outside consulting.

When an endowed college wants to engage a faculty member normally paid for full-time service in another endowed college for a formal research assignment or regular teaching assignment consisting of one or more courses in the resident teaching program for full-time students, arrangements should be made by the deans of the colleges after consulting with the faculty member. An exchange of funds or other appropriate arrangement between the colleges should be made to compensate for the services provided to one college and the loss of services to the other. The payment is not made directly to the faculty member.

Services rendered by a faculty member in one state-supported unit of the University to another state-supported unit of the University are not compensated; such service is a normal part of the extension responsibility of the staff of the state-supported divisions.

When an endowed college or division wants to engage a faculty member who is normally paid for full-time service in a state-supported college, special arrangements must be made by the deans of the colleges involved, within the framework of policies established by the university controller, the vice president for financial affairs and chief financial officer, and the director of budget. Funds to compensate a state-supported college faculty member for instruction or consulting services should never be transferred directly from a departmental account in an endowed unit to a departmental account in a state-supported unit.

A college may pay another college or a faculty member of another college for that faculty member’s services as an instructor in extension courses or special adult education programs conducted either on campus or outside Ithaca under arrangements similar to those followed by the School of Continuing Education and Summer Sessions in engaging faculty. These arrangements require the permission of the chairperson and the dean.

Exceptions to these general rules may be necessary in special circumstances. In such instances the provost, the University controller, the vice president for financial affairs and chief financial officer, and the deans involved work out mutually satisfactory arrangements.
POLICY 6.x

Academic Appointments

DRAFT: March 30, 2012

PROCEDURES: APPOINTMENT CONFIGURATION - COMPENSATION, BENEFITS AND TERM, continued

Federal Policy

A unique problem arises when intra-university consulting fees are paid from federal funds. Federal agency approvals of the use of campus consultants are difficult to obtain and cannot be counted on. Federal policy in this area is stated in circular A-21 from the Office of Management and Budget (available at www.whitehouse.gov/omb/circulars_a021_2004/). When this situation occurs, the Office of Sponsored Programs should be contacted for guidance prior to submitting a proposal to the sponsor.

“In no event will the [faculty] charge to research agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary for that period, and any extra compensation above the base salary for work on government research during such period would be unallowable. This principle applies to all members of the faculty at an institution. Since intra-university consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time base salary, the principle also applies to those who function as consultants or otherwise contribute to a research agreement conducted by another faculty member of the same institution. However, in unusual cases where consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his regular departmental load, any charges for such work representing extra compensation above the base salary are allowable provided such consulting arrangement is specifically provided for in the research agreement or approved in writing by the sponsoring agency.”

Procedures

All arrangements for paid inter-college services must have the prior written approval of the deans of the colleges concerned. Appointment forms with their signatures, stating the stipend and the expected extent of service must be forwarded at least one week in advance of the assignment to the University controller and the vice president for financial affairs and chief financial officer, who consults with the vice provost for research if funds from federal sources are involved.

Funds for extra compensation ordinarily come from other than normal University sources, such as research contracts or grants. If payment is to come from federal funds, permission for such payment must either be included in the contract or grant or be agreed to in writing by the sponsoring agency. Payment of extra compensation must be through the university’s payroll system.
### Appointments of Individuals Under the Federal Intergovernmental Personnel Act

The 1970 Intergovernmental Personnel Act was established for the mutual benefit of educational institutions and the federal agencies. The Act allows individuals who are employed by Cornell to be appointed to positions in a variety of federal agencies on a temporary basis, usually one or two years. These individuals continue to be Cornell employees but the federal government compensates the university for any salary and benefits expended. Cornell must agree to return such individuals to their previous status at the end of the agreement. In turn, employees of federal agencies may come to Cornell under the same program. Those on leave gain valuable experience which they bring back to their home institutions, while the agencies have the benefit of new insights into their problems.

Information about placing Cornell academic appointees on Intergovernmental Personnel Act Leave may be found in Appendix B of University Policy 6.2.1, Leaves for Professors and Academic Staff at [www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/humanresources/leaves.cfm](http://www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/humanresources/leaves.cfm).

For employees of federal agencies who come to Cornell under the program, normal appointment procedures apply. Circumstances may support approval of a waiver of affirmative action search requirements.

### Appointment When the Qualifying Degree (Not Administered by Cornell) Has Not Yet Been Conferred

Minimum qualifying degree for appointment to an academic title may be specified in the title description (please consult Appendix B of this policy for title descriptions); higher degrees may be required by the dean or vice president of the governing academic unit. Higher degree requirements may be specified in advertisements for particular positions if there is a necessity related to the responsibilities of the position. Appointment to a research title requires a research Ph.D., except that in a professional program the dean may approve that the requirement be for the highest professional degree with evidence that the program trained for research.

#### Assistant Professor

If, after conducting an affirmative action search for a tenure-track assistant professor, a department selects a candidate for a degree not administered by Cornell who has not completed all requirements for the highest academic degree, then the initial appointment may be made at the level of “instructor” or “acting assistant professor” for a one-year term. The appointment may be renewed for a second year, but if the degree remains uncompleted at the end of the second year, the appointment cannot be renewed and the offer of an assistant professorship becomes void. For non-Cornell degree candidates, the ensuing title change to assistant professor may be made retroactively to the beginning of the semester if the granting institution certifies that all degree requirements are met and that the conferral of the degree is imminent.
Research Associate

External Ph.D. candidates both from foreign and American institutions of higher education can be given up to three-year initial appointments, provided the institution certifies in writing that all degree requirements have been satisfied and the degree soon will be conferred.

Postdoctoral Associate and Postdoctoral Fellow

External Ph.D. candidates both from foreign and American institutions of higher education must provide documentation from the institution certifying that all degree requirements have been satisfied and the degree soon will be conferred.

The Appointment and Reappointment of Individuals Who Are Not U.S. Citizens

The International Students and Scholars Office (ISSO) describes its mission as, in part, to “assist individual international students and foreign academic staff and their families by advising them concerning federal immigration, tax and labor regulations … and to serve as an information resource” for Cornell, including academic departments and units. Their “Information for Departments Hosting International Staff http://www.isso.cornell.edu/academicstaff/host.php notes their role in assisting departments “in the multi-faceted tasks of bringing international professors and researchers to the United States for appointments or lectures.” ISSO’s “Hiring International Scholars: A Resource Guide” (www.isso.cornell.edu/academicstaff/hiringmanual.pdf) states,

“U.S. Immigration law prohibits employers from making payments to visitors without work authorization, … even if the visitor is only on campus for a brief lecture or appearance. It is imperative that the University be in full compliance with all federal regulations regarding payments to temporary visa holders. Failure to abide by these regulations may result in significant hardship such as an inability to fulfill financial commitments to the invited guest, penalties and fines to the university, or immigration penalties for the visitor. Academic departments should not assume that international visitors who already hold work authorization in the United States may be paid by Cornell. Most employment visa classifications are job and employer specific. ...”

The Resource Guide includes a range of information, from visa categories and tax compliance to whether ISSO or the appointing department fills out the I-9 form for a scholar.

ISSO should be involved at the earliest possible stage when appointment, change of position, or payment of a foreign national may be contemplated.

Immigration law restricts payments to foreign visitors. Guidance about whether Cornell can make a payment to a foreign visitor may be found at www.dfa.cornell.edu/tax/foreign/visatypes/issues.cfm. For further information,
including general information about tax withholding on payments, visit the Cornell University Tax Compliance website at www.dfa.cornell.edu/tax/foreign/.

Foreign academic staff members must be in valid visa status and valid employment authorization 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 Students and Scholars Office soon after their arrival at Cornell. All foreign academic staff members must have adequate health insurance for themselves and their dependents during their stay at Cornell. Upon arrival, foreign nationals who will have academic appointments must obtain a U.S. social security number.

Even if ISSO instead of the department fills out the I-9 form, it is the responsibility of the department making the appointment or reappointment to verify the visa status of the individual and the expiration of authorization to work: appointments cannot be made for a period which would go beyond this date and are contingent on the retention of valid visa status and authorization for continued appointment. Appointments with indefinite tenure (meaning “tenure” has been approved by Cornell’s Board of Trustees) do not have an end-date. Departments, however, must continue to file updated I-9 forms until proof of the award of permanent residency status has been provided and filed with Records Administration in the Division of Human Resources through another I-9 form. I-9 information is available on the website of the Division of Human Resources at www.hr.cornell.edu/managers/onboarding/onboarding.html.

Permanent Resident or Immigrant Status

This group of non-citizens has the same rights and privileges of employment which are accorded citizens. Permanent residents are issued proof of their status. There are no special provisions or requirements for the appointment of permanent residents.
POLICY 6.x

Academic Appointments

DRAFT: March 30, 2012

PROCEDURES: ENDING APPOINTMENTS

Appointment Termination:
Nonrenewal or Early Termination of Term Appointments

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. The minimum periods of notification required by the university are given below. For nonterminal appointments (these are appointments where an individual, even though on a term appointment, has the possibility of renewal) 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 six months. The same provisions for notice pertain to early termination of an academic appointment. If the possibility of renewal is uncertain for a reason such as lack of information on the availability of funds, the individual should be notified of the uncertainty, and this notification serves as sufficient notice to satisfy the requirements – while routine contingency language in appointment letters is based on lack of information on future availability of funds, this routine contingency is not sufficient to serve in lieu of particular notice that non-renewal or early termination might be imminent.

Different requirements for notice pertain to senior lecturers and lecturers. (Provost Nesheim’s 1994 memorandum on this subject is available at www.hr.cornell.edu/policies/academic/notice_requirements.pdf. 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 having completed three or more years of continuous service (excluding summers). Such notice should be in writing to the individual and specifically note that it is serving as notice of non-renewal or early termination, should such actions be necessary. It is not adequate, for example, simply to issue a blanket notification to all academic staff that funding, budget or other uncertainties may cause some non-renewals or early terminations of staff positions.

In some situations no notice is required. These include (1) an appointment clearly communicated as being non-renewable (a terminal appointment, although notice would be required for early termination of the appointment); (2) the termination of the 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.

The notice requirements for the reduction in effort, and a corresponding reduction in salary, for non-tenured/non-tenure-track academic staff are, in most cases, less extensive than those that pertain to the non-renewal or early termination of such appointments. Two months of notice are required if the planned reduction in effort/salary does not affect benefit status. In cases in which such reduction will result in the loss of benefits for such individuals, the notice provisions for early termination or non-renewal described above should be observed. If funding, budget, or other uncertainties create the possibility, but not certainty, of a reduction in effort/salary,
PROCEDURES: ENDING APPOINTMENTS, continued

the individual should be notified, in writing, of the uncertainty, and this notification serves as sufficient notice to satisfy the notice requirements for a reduction in effort/salary.

Retirement

Professors and academic staff should contact Benefit Services in the Division of Human Resources regarding retirement plans and eligibility.

Professors: Phased Retirement and the Transition of Faculty to Emeritus Status

The “Provost’s Policy Statement on the Transition of Faculty to Emeritus Status” may be found on the CAPE website at www.emeritus.cornell.edu/benefits/DMRTransitionToEmeritus.pdf. Additional information is available from Benefit Services in the Division of Human Resources.

The university’s phased retirement program permits eligible professors and associate professors with full-time appointments in the endowed and contract colleges at Ithaca to reduce their teaching, research, and administrative duties prior to retirement by allowing a gradual transition of a specified duration of time. Separate policies exist for employees in the endowed and contract units, and a copy of either policy may be obtained from the Cornell Association of Professors Emeriti Office (CAPE) (www.emeritus.cornell.edu/benefits/).

Also consult the title description for “Professor Emeritus or Emerita” in Appendix A.

Resignation

Resignation by an academic employee, whether tenured or on a term appointment, is normally effective at the end of an academic term or on June 30 or December 31 for those on 12-month appointments. To allow the academic unit to prepare for the loss of the staff member, the employee should notify the department chairperson or the director of the unit of the intended resignation as early as possible. Because academic policy prohibits pay for accrued vacation after the termination date of a resigned appointment (except when electing formal retirement), discussions with the chair or director should include any proposed use of vacation accrual. A minimum of a month’s notice of resignation is required from the academic employee.

A budget line is not considered vacant until a formal resignation in writing, including the date on which it is to become effective, has been submitted. If a formal resignation has not been submitted even though the individual has actually left the university, the department chairperson or the director should send a letter to the individual noting the circumstances and stating that unless a response is received to the contrary within a certain time limit, the resignation will become effective on a specified date. In some cases, when a valued member of the faculty is to leave the University, arrangements are made for a leave of absence rather than a resignation, in the hope that the person will return to Cornell. Such arrangements for up to one year require the approval of the department chair or director and the dean or vice provost. For those with joint appointments or other concurrent appointments, the approvals must
be obtained from all of the relevant units and executives. To extend leave beyond one year requires approval of the provost through the Academic Personnel Policy Office. The leave should not, in any event, exceed more than one year from the date a tenured Cornell professor assumes a tenured appointment at another institution. In this situation, the department cannot recruit a permanent replacement, and a vacant formal position (including appropriate tenure status) with its budgetary commitment must be reserved in case the person does return.

Those considering resignation or retirement for medical reasons should consult Appendix B of University Policy 6.2.1, Leaves for Professors and Academic Staff for information about short-term medical leave and federal entitlements under the Family and Medical Leave Act, as well as consulting Benefit Services in the Division of Human Resources www.hr.cornell.edu/benefits/medical_leaves/ regarding such options as long-term disability and its interface with retirement and social security benefits. Tenured professors may wish to consult also with the Cornell Association of Professors Emeriti Office (CAPE) (www.emeritus.cornell.edu) regarding the availability of phased retirement.

Sanctions: Procedures Governing

Imposition of Suspension or Dismissal on Professors

At their May 2007 meeting, the Board of Trustees, upon recommendation of the Faculty Senate, amended the faculty dismissal procedures which the Board of Trustees adopted in 1951 (Proceedings, 1951, pp. 395-96; 1960, pp. 3843 and 3905; 1964, pp. 4911 and 4917; and 1965, p. 4924; and Records, 1951, pp. 2613, 2625, and 2634; 1960, pp. 2927-32; 1962, pp. 2994-95; and 1965, p. 3163). For more information, please consult Appendix G of this policy.
## APPENDIX A: ACADEMIC APPOINTMENT TERMS AND AUTHORITY

<table>
<thead>
<tr>
<th>Title</th>
<th>Maximum Term and Renewability</th>
<th>Maximum Time in Title</th>
<th>Appoint Authority (Exercised by/via)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Professor Emeritus</strong>, initial approval</td>
<td>Indefinite</td>
<td>No maximum</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>movement to active status</td>
<td>One year, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>return to inactive status</td>
<td>Indefinite</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>University Professor</td>
<td>Tenured only = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td>Endowed Professor (tenured faculty) or Named Position (term appointment)</td>
<td>Indefinite, unless limited during establishment End of current academic appointment</td>
<td>Per establishment</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td>Professor, external appointment with tenure</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost tenure review procedures</td>
</tr>
<tr>
<td>external appointment, tenure-track</td>
<td>5 years, not renewable</td>
<td>5 years</td>
<td>President (Dean/Records) maximum tenure clock 5 years</td>
</tr>
<tr>
<td>from tenure-track to tenured</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost tenure review procedures</td>
</tr>
<tr>
<td>external appointment non-tenure-track</td>
<td>5 years not renewable</td>
<td>5 yrs</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Associate Professor, tenured, promotion to professor</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>non-tenured, promotion to professor</td>
<td>same 5-year limit, clock does not re-set</td>
<td>same 5-year limit</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>external appointment with tenure</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost tenure review procedures</td>
</tr>
<tr>
<td>external appointment, tenure-track</td>
<td>5 years, not renewable</td>
<td>5 years</td>
<td>President (Dean/Records) maximum tenure clock 5 years</td>
</tr>
<tr>
<td>from tenure-track to tenured</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost tenure review procedures</td>
</tr>
<tr>
<td>external appointment non-tenure-track</td>
<td>5 years not renewable</td>
<td>5 yrs</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Assistant Professor, promotion to associate w/ tenure</td>
<td>Tenure = indefinite</td>
<td>No maximum</td>
<td>President (Provost/APPO) tenure review procedures</td>
</tr>
<tr>
<td>non-tenure-track promotion to Associate</td>
<td>5-year limit appointment, clock does not re-set</td>
<td>5-year limit</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>tenure-track</td>
<td>4 years, renewable to 6 (8 years at the Johnson School)</td>
<td>6 years (8 years at the Johnson School)</td>
<td>President (Dean/Records) maximum tenure clock 6 years (8 years at the Johnson School)</td>
</tr>
<tr>
<td>tenure review began did not result in tenure</td>
<td>1-year terminal appointment, not renewable; other titles not available</td>
<td></td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Clinical Professor; Associate/Asst, Clinical Professor</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) title must be approved for use in the college</td>
</tr>
<tr>
<td>Professor-at-Large</td>
<td>6 years, limited renewal</td>
<td>Per Trustee approval</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
</tbody>
</table>
### APPENDIX A: ACADEMIC APPOINTMENT TERMS AND AUTHORITY, continued

<table>
<thead>
<tr>
<th>Title</th>
<th>Maximum Term and Renewability</th>
<th>Maximum Time in Title</th>
<th>Appoint Authority (Exercised by/via)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acting Professor, Associate or Assistant Professor</td>
<td>1 year, renewable once</td>
<td>2 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Adjunct Professor or Associate Professor</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Adjunct Assistant Professor</td>
<td>3 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Professor, Associate Professor</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Assistant Professor</td>
<td>3 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Professor, Associate Professor</td>
<td>3 years, renewable to 5</td>
<td>5 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Assistant Professor</td>
<td>3 years, renewable to 4</td>
<td>4 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Endowed Professorial title</td>
<td>1 year, limited renewal</td>
<td>Per Trustee approval establishing position</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>Visiting Clinical Professor, Associate Clinical Professor</td>
<td>1 year, renewable to 3</td>
<td>3 yrs.</td>
<td>President (Deans/Records) title must be approved for use in the college</td>
</tr>
<tr>
<td>Senior Scholar, Senior Scientist</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>Principal Research Scientist; Research Scientist</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Sr. Scholar, Sr. Scientist</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Instructor</td>
<td>2 years, renewable to 5</td>
<td>5 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Instructor</td>
<td>2 years, renewable to 5</td>
<td>5 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Instructor</td>
<td>1 year, renewable to 5</td>
<td>5 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>5 years, renewable; 5-year appointment required for long-term teaching needs; 1-year appointments, other short-term needs, and initial probation</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Lecturer</td>
<td>3 years, renewable; 3-year appointment required for long-term teaching needs; 1-year appointments, only for 1-year replacements, other short-term needs, and initial probation</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Senior Lecturer</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Lecturer</td>
<td>3 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Senior Lecturer; Visiting Lecturer</td>
<td>1 year, renewable to 3</td>
<td>3 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Senior Research Associate</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Research Associate, reclassified from Postdoc title</td>
<td>3 years, renewable; must have served 3 years in Cornell</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
</tbody>
</table>
### APPENDIX A: ACADEMIC APPOINTMENT TERMS AND AUTHORITY, continued

<table>
<thead>
<tr>
<th>Title</th>
<th>Maximum Term and Renewability</th>
<th>Maximum Time in Title</th>
<th>Appoint Authority (Exercised by/via)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoctoral Associate or Fellow</td>
<td>1 year, renewable twice</td>
<td>3 years in postdoc status</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Sr. Assistant Librarian, Sr. Assistant Archivist</td>
<td>3 years; 1-year time-in-title extension available</td>
<td>3 years</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Assistant Librarian, Assistant Archivist</td>
<td>1 year, then 2 years; 1-year time-in-title extension available</td>
<td>3 years</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Librarian, Archivist</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Assistant University Librarian</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>University Librarian</td>
<td>5 years, renewable</td>
<td>Per Trustee approval</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td>Extension Associate</td>
<td>3 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Senior Extension Associate</td>
<td>5 years, renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Postdoctoral Associate or Fellow</td>
<td>1 year, renewable twice</td>
<td>3 years in postdoc status</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Teaching Associate</td>
<td>1 year, renewable</td>
<td>No limit</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Scientist, Visiting Scholar</td>
<td>1 year, renewable twice</td>
<td>3 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Critic</td>
<td>1 year, renewable twice</td>
<td>3 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Fellow</td>
<td>1 year, renewable twice</td>
<td>3 years</td>
<td>President (Dean/Records)</td>
</tr>
</tbody>
</table>
POLICY 6.x

Academic Appointments

DRAFT: March 30, 2012

APPENDIX B: ACADEMIC TITLES SUBJECT TO AFFIRMATIVE ACTION SEARCH REQUIREMENTS

- Professor
- Associate Professor
- Assistant Professor
- University Professor
- Professor-at-Large
- Clinical Professor, Associate Clinical Professor, Assistant Clinical Professor
- Senior Scientist and Senior Scholar
- Principal Research Scientist and Research Scientist
- Senior Research Associate and Research Associate
- Instructor
- Senior Lecturer and Lecturer
- Teaching Associate
- Senior Extension Associate and Extension Associate
- Librarian and Archivist titles
- Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor
- Visiting Clinical Professor, Visiting Associate Clinical Professor, Visiting Assistant Clinical Professor
- Visiting Instructor Visiting Lecturer, Visiting Senior Lecturer
APPENDIX C: FACULTY LEGISLATION ON SELECTION OF NEW PROFESSORIAL FACULTY MEMBERS

Preliminary Analysis of Candidates

“a. Preparing a list of possible candidates

“In assembling a list of possible candidates reliance on traditional and customary sources of information may neglect the effects of changing conditions and overlook new sources of information. Every effort should be made to have the list include all qualified persons, regardless of their location or status at that time.

“b. Selecting candidates for interview

“It is suggested that selection of from three to five candidates for personal interview be made with the assistance of the entire department, if possible. The choices should not depend upon travel costs. When necessary, funds should be made available, at the college level, to cover costs of interviews.

“It will normally be desirable to give preference to candidates who are not fresh from training at Cornell. As a general principle, recent Cornell Ph.D’s should be considered only if the number of Cornell graduates teaching in the department is small. While the desirable number of Cornell graduates in a department will necessarily vary, it is suggested that whenever this number exceeds about twenty percent there is a serious risk of intellectual and professional parochialism. It seems desirable not to appoint new Cornell Ph.D’s to the faculty unless it is clear that no equally well-qualified persons are available.

“2. Interviews

“a. Meetings with department members and with the Dean of the College

“During the candidate’s visit, he or she should meet and talk privately with the Dean of the College and each member of the department. Each faculty member should have an opportunity to get a clear impression of the candidate’s scholarly capacity and promise and of more personal factors such as maturity, self-assurance, drive, etc. In large departments, it may be necessary to limit the number of discussions with staff, but this number should never be less than eight, of which at least four should be with senior staff. Each member of the permanent staff should have the right to participate and a duty to insist on high standards for selection.

“b. Seminar

“Every candidate should be asked to speak to the faculty, graduate students and/or undergraduates on some appropriate topic, usually relative to the
candidate’s recent work. The candidate must, of course, be forewarned. Since a meeting of this sort is usually the only opportunity to evaluate a candidate’s teaching ability, this valuable measure should be omitted only in exceptional cases. The department, either on its own initiative, or at the suggestion of the Dean, may wish to invite some staff members from other departments to the meeting.

“3. Selection

“The choice from among those candidates interviewed should be made by the department head with the concurrence of the faculty and of any outside staff members asked to participate in this process by the Dean. In cases where the new appointment will entail a substantial amount of supervision of graduate students, the Dean of the Graduate School should be invited to participate in the selection procedure in whatever way seems appropriate. After a review in the President’s Office of the candidate’s qualifications and of the fiscal arrangements proposed a tentative offer can be extended, with a request for a decision within a stated period of time.

“4. Supplementary Action

“Should the offer be declined, the following succession of alternatives may be employed:

“a. an offer may be made to the second-choice candidate;

“b. additional interviews may be held and a new choice made;

“c. a temporary appointment may be made, preferably of an eminent scholar, so that the process of securing a distinguished addition to the staff can be continued without pressure.

“It is, of course, desirable to start the hiring process sufficiently early to avoid compromise on less than satisfactory appointments.”

End of Faculty Legislation
APPENDIX D: APPOINTMENT LETTERS

In the interests of both the appointee and the university, the information conveyed should include:

1. The formal academic appointment title, plus appropriate working title or field designator.
2. The start date and the end date of appointment.
3. The period of responsibility, for example whether nine months or twelve months, academic year or calendar year.
4. 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 post-payment.
5. Whether the appointment is terminal or renewable, and whether it is on the tenure track. A terminal appointment is not renewable (there may be a possibility that an individual on a terminal appointment will be reappointed particularly if circumstances change, for instance as the outcome of an appeal, but there is no commitment or expectation of reappointment). If the appointment is renewable, it implies that a decision will be made on reappointment appropriately in advance of the end of the stated term, and there may be a requirement to give notice of nonrenewal. If an appointment of longer than a year is on non-appropriated funds, such as grants and contracts, it should be stated that the continuation of the appointment is contingent on the continued receipt of sufficient funds. Please consult the policy section on “Appointments on Grants and Contracts” for suggested wording to cover these situations.
6. For professorial appointments, the general nature of the responsibilities, as noted in the title description in Academic Titles policy. (For initial appointments on the tenure track this is particularly 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 research and other scholarly work, teaching, advising undergraduate and graduate students, and service to the profession and to the department, the college, and the university. Not all faculty members are assigned all of these responsibilities in equal measure. 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 departmental 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.)
7. 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 allowance.

**Actions Requiring Board Approval**

Actions requiring trustee approval should be so indicated in the appointment letter. Examples include the award of tenure or election to a long-term endowed chair; also, if the base salary is more than an amount specified each year (available in a footnote on the Academic Personnel Policy Office’s “Deans’ Dossier Schedule,” posted on the office’s website), approval of the Executive Committee of the Board of Trustees is required.

The effective date of an appointment submitted to the board for approval must be after the board action. In the case of an external appointment to tenure, a letter to the prospective faculty member cannot make a commitment to tenure unless the Board already has acted. However, if the provost concurs, the letter can state that the provost will recommend that tenure be awarded at a specified meeting of the Board of Trustees. If the Board does not meet until after the appointment begins, a one-year tenure-track appointment may be made, with the provision that the tenure-track status will be changed to reflect the effective date of Board-approved tenure.

The deadlines for submission of materials for provost’s approval for inclusion on the agendas of the current year’s meetings of the Board of Trustees may be found online at [www.hr.cornell.edu/policies/academic/](http://www.hr.cornell.edu/policies/academic/).

For tenure in urgent recruitment cases, even if the University Faculty FACTA review is waived, at the discretion of the provost for professors who have held tenure previously, a minimum of two to three weeks prior to the Board meeting will be necessary to obtain provost’s approval, prepare an addition to the agenda, and mail the substantial agenda document to the Trustees, to be received at least ten days before their meeting.

The following recommendation, prepared by the Committee on Academic Freedom and Responsibility, was adopted by the Faculty Council of Representatives on September 11, 1974 (Records, pp. 4311-15C):

**Definition of professorial duties through letters of appointment and methods of revising such letters**

We urge, as a matter of university-wide policy, that letters of appointment:

a. Define with all reasonable precision the general nature of the responsibilities which the new professor will be expected to assume. (It will be desirable to allow much more latitude in some job descriptions than in others, and the degree of precision must rest ultimately with the department and the dean of the college.)
b. Be sufficiently general that the definition of duties can be reasonably expected to last for a period of at least several years.

c. Explain that any reassignment of responsibilities is not to be undertaken unilaterally, but only through joint action of the faculty member and the appropriate representatives of his department and college.

Procedures for readjusting responsibilities in relation to changes in individual interest

Grievance procedures established at the college level should permit the initiation of complaints by either faculty or administrators pertaining to the assignment of faculty responsibility, alleged failure of a professor to carry out the duties of his position, and related matters. [Please consult the “The Ombudsman, Grievances and Sanctions Policy”].

Locus of ultimate responsibility, responsibility for teaching, extension, and research

In view of the enormous variation from one part of the university to another in faculty assignments and administrative expectations concerning teaching, extension and research, … a more specific statement by the FCR on the assignment and execution of responsibilities would have to be so abstract and general as to be meaningless.
APPENDIX E: APPOINTMENT OF DEANS AND DIRECTORS OF DIVISIONS

The following sets forth the policy for academic appointments deans, chairpersons and directors of schools.

In October 2002 Provost Martin issued the following statement:

Deans’ Searches, Reappointments, Mid-Term Reviews

“Deans’ Searches

“1. The University Provost works with the Faculty Senate’s Nominations and Elections Committee to decide on search committee members. The search committee is chaired by the Provost or her/his designee, and typically includes six to eight faculty members from the college in question, a dean of another college, and a faculty member from outside the college. The Provost submits a list of possible search committee members to the Nominations and Elections committee, the members of which suggest revisions to the list or additional names. The Provost makes final decisions about the membership after determining individuals’ willingness or ability to serve.

“2. The search committee meets to discuss the search process, the college’s needs and future direction, and to decide on an appropriate ad.

“3. The search committee is responsible for seeking nominations from the faculty and for providing their own nominations for the position. Search committee members actively seek information about applicants and nominees and begin the process of conducting preliminary meetings with candidates.

“4. After the search committee has developed a short list of finalists, the names are made public and the finalists are invited for campus visits. The candidates’ visits include meetings with the chairs and directors of the college in question, with representatives of undergraduate and graduate students, and with other academic deans. They also involve presentations to the faculty in the college. Faculty are then invited to submit their assessments of the candidates to the search committee or directly to the Provost, should they wish to have their opinions kept confidential.

“5. The search committee actively seeks faculty opinion about the candidates and uses the feedback they receive to help establish an unranked list of three which they then submit to the President for his or her decision. The President takes his or her decision to the Executive Committee of the Board of Trustees for approval.

“Deans’ Reappointments

“1. During the first semester of the fourth year of a dean’s five-year term, the Provost inquires about the dean’s interest in re-appointment, and actively seeks information about the dean’s performance directly from the faculty in the college,
the deans’ colleagues in the administration, and alumni advisory council members.

“2. The Provost reports the results of the review to the President who makes the final decision about reappointment after meeting with the dean to discuss the views of the faculty, deans, and alumni. Decisions to reappoint are referred to the Executive Committee of the Board of Trustees for approval.

“Deans’ Mid-Term Reviews

“1. At the end of the second year of the dean’s five-year appointment, the Provost’s Office provides the resources for a 360 review to be conducted by an outside consulting firm. The reviewers will gather information from the dean’s supervisor, i.e., the Provost. The dean selects reviewers from among his/her colleagues on the Academic Deans’ Council, associates in the dean’s office, department chairs, and faculty members in the college. It is the dean’s responsibility to seek a wide variety of perspectives.

“2. The dean meets with the outside consultant who has administered the review for a two-hour discussion of the results.

“3. The dean will meet with the Provost to report the results of the study and discuss his or her responses to them. Any concerns that have arisen will be discussed and addressed.”

The Provost is not bound by the vote of the faculty but must report the faculty’s opinion in making a recommendation to the Board of Trustees.

An appointment to the deanship of a Contract College must be approved by the Board of Trustees of the State University of New York.

The Dean of the Faculty is nominated by procedures that have been adopted by the University Faculty.

If a dean or division director has no current academic appointment, conferral of academic appointment is in the usual fashion.

Associate Deans

Associate deans are selected by the dean; appointments as associate dean do not require approval by the Board of Trustees. If the appointee is not a member of the faculty, service may be without specified term. While the appointment is normally for five years and renewable, associate deans serve at the pleasure of the dean.

Assistant Deans

Assistant deans are selected by the dean; appointments as assistant dean do not require approval by the Board of Trustees. The terms of appointment for assistant deans are variable, and if the appointee is not an academic, the appointment may be
APPENDIX E: APPOINTMENT OF DEANS AND DIRECTORS OF DIVISIONS, continued

without specified term; assistant deans serve at the pleasure of the dean.

Chairpersons and Directors of Schools

Chairpersons of departments and directors of schools (in the College of Engineering) are selected by the dean, normally after consultation with the faculty members of the department or the school. Appointments as department chair or school director do not require approval by the Board of Trustees. If the individual has no prior academic appointment in the college, an academic position must be conferred according to the usual procedures for academic appointments.

The appointment to chairperson or director of a faculty member who is in probationary tenure status is only rarely approved, because of the additional burden such an appointment would impose.

In recognition of the extra effort involved, including the uncompensated period of the summer, in the endowed divisions the chairperson or the director receives a salary supplement for the duration of the appointment. The amount of this supplement depends on the size of the department or the school and the administrative help available in the unit. If a chairperson goes on sabbatical or other leave, the supplement is not included as part of the leave salary but is used for the acting chairperson.

Trustee legislation adopted on October 6, 1966 (Records, p. 5366), addresses the appointment of chairpersons and directors of schools:

“Appointments of academic department chairmen will be for terms not to exceed five years. Appointment for a second term not to exceed five years is permitted and will commonly occur in departments with large research or professional training commitments. No appointments for a third term will be permitted except in highly unusual circumstances.”

Directors of Centers and Programs

Directors of centers and programs are selected by the dean or the executive officer to whom the unit reports, after consultation with the steering committee or the membership, or both, of the center or the program and the dean of the college in which the potential appointee has faculty membership. The term of the appointment is for up to five years, normally renewable only once. The appointment must be approved by the appropriate dean or deans. Such directors normally receive an appropriate percentage of their salary from funds available to the center or the program, either unrestricted or from grants and contracts. That portion of the college salary released by the appointment reverts to the college to compensate for the loss of the faculty member’s effort. Upon completion of the term it is the responsibility of the college to fund the return of the faculty member to an appointment at full salary in the college.
APPENDIX F: PART-TIME APPOINTMENTS

The following is the policy on part-time appointments adopted by the Faculty Council of Representatives on October 9, 1974 (Records, pp. 4331-34C), as amended by the Board of Trustees. January 17-18, 1975 (Proceedings, pages 8871, 8882-83, 8902), with the Faculty Handbook’s non-substantive changes to phrase the policy in gender-neutral terms and ellipsis reflecting the discontinuance of the 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.


“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 pro-ration is not practically feasible. [Consult note at the end of this legislation relative to prorating sabbatical leave.]

“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.


“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 chair.


“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) his department chair or his 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 chair.

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

End of Faculty Legislation

Part-time appointments for short and definite terms have always been possible. The above policies apply primarily to longer-term appointments.

For the academic staff of the Library, appointees at three quarters time or more are considered as full-time in computing time in rank. Please consult section II C of the Cornell University Library Procedure 13 www.library.cornell.edu/Adminops/libhumres/academicsearches.html.

In the prorating of sabbatical leave, consult the sabbatic section of Appendix B in University Policy 6.2.1, Leaves for Professors and Academic Staff, at www.dfa.cornell.edu/treasurer/policyoffice/policies/volumes/humanresources/leaves.cfm.

There are two types of part-time appointments. In some cases appointments are for less than full-time because of the limited availability of individuals. In other cases the
appointments are for part-time because of limitations within departments. In the latter cases, individuals may accept other academic positions at Cornell. In such a circumstance, if an individual is on the tenure track an agreement should be reached relative to the degree that the responsibilities of the second position would be a consideration in the tenure decision.
APPENDIX G: PROCEDURES GOVERNING IMPOSITION OF SUSPENSION OR DISMISSAL ON PROFESSORS

“Article XVI, Section 10, of the Bylaws states:

‘The Board shall have the right to dismiss and terminate the appointment of any member of the staff of instruction and research for failure to perform the duties required of the position which he holds or for such personal misfeasance or nonfeasance as shall make him unfit to participate in the relationship of teacher and student. Such dismissal shall be effected through such procedures as the Board may adopt. Such procedures shall provide for reasonable notice and an opportunity to be heard.’

“The following procedure in the case of faculty members was approved by the Board of Trustees and the University Faculty in 1951 (Note: On-substantive changes have been made to phrase the policy in gender-neutral terms):

“The university reserves the right to dismiss and discontinue, or to suspend, the appointment of any member of its faculties, on reasonable notice and after giving such member an opportunity to be heard, for misconduct or failure to perform the duties required of the position he or she holds.

“In the case of a university professor, professor, associate professor, or assistant professor the following procedure shall be adopted to govern dismissal or suspension for the period of one semester or more:

“A. When complaint from any source is made against a university professor, a professor, an associate professor, or an assistant professor which might lead to his or her dismissal or to suspension for the period of one semester or more, the dean of his college, or in the case of a university professor, the dean of the University Faculty, shall inform the faculty member of the complaint against him or her, investigate the case, and if the faculty member is willing, consult with him or her regarding it. The dean shall thereafter report to the provost the results of the investigation together with his or her recommendations. The provost shall cause the faculty member to be furnished with a written and detailed statement of the charges against him or her and the suggested disciplinary action if, after receiving the dean’s report and making such independent investigation as may seem appropriate to the provost, it is the opinion of the provost that further proceedings are warranted.

“B. If the faculty member desires a hearing, he or she shall so request in writing to the provost within thirty days of the receipt of the written charges against him or her, and he or she shall then be entitled to a hearing before a board appointed by the provost and consisting of five members of the University Faculty, of whom two shall be selected by the faculty member, two by the provost and the fifth by the other four.
“C. At such hearing the faculty member shall be entitled to be accompanied by an advisor or counsel of his or her own choice, to present witnesses in his or her own behalf and to confront and question the witnesses against him or her. If the faculty member so requests before or at the opening of the hearing, he or she shall after its conclusion be furnished, without cost to him or her, a full report of the proceedings before the board, including the testimony taken, the evidence received, and the board’s findings and recommendations. The board shall submit to the president a report of its findings and recommendations. If suspension is recommended, the president’s decision shall be final; and if dismissal is recommended, this report shall be appended by the president to any recommendations he or she may make to the Board of Trustees in regard to the case.

“D. If dismissal is recommended, the faculty member shall be free to resign at any time within thirty days of receipt of the written charges against him or her; but if he or she has neither requested a hearing nor resigned within thirty days, the Board of Trustees shall be free to dismiss him or her without further notice or hearing. If suspension is recommended and the faculty member fails to request a hearing within the thirty day period described in paragraph B above, the suspension shall be implemented as recommended.

“E. In the case of suspension of less than one semester, or suspensions of any length of time of faculty other than university professor, professor, associate professor or assistant professor, a dean’s recommendation to suspend a faculty member shall be subject to existing grievance procedures. In cases where the Faculty Committee on Academic Freedom and the Professional Status of the Faculty is the final step in the grievance procedure, the Faculty Committee will submit a report of its findings and recommendations to the president. If suspension is recommended, the president’s decision shall be final.

“For purposes of this dismissal and suspension procedure, the following definitions shall pertain:

“‘Provost’ refers to the provost or the provost for medical affairs, as appropriate. However, in the event the provost for medical affairs serves simultaneously as the dean of the college in which the case arises, the president shall receive and review the dean’s report and make the appropriate judgment about further proceedings.

“‘Suspend’ or ‘suspension’ means a temporary abrogation of the faculty member’s rights or responsibilities that effectively prevents the faculty member from carrying out the responsibilities of his or her position or a temporary partial or temporary full reduction of a faculty member’s salary, whether or not it is named as a suspension. A non-disciplinary reduction of salary such as a non-
APPENDIX G: PROCEDURES GOVERNING IMPOSITION OF SUSPENSION OR DISMISSAL ON PROFESSORS, continued

temporary reduction of salary that may be implemented at the time of an annual salary review, or a non-disciplinary reassignment of duties at an appropriate time in the academic calendar shall not be considered a suspension. The period of suspension shall be no less than two weeks and no more than two semesters. Except for an emergency suspension, the imposition of any suspension shall be deferred pending the conclusion of the internal review process.

“‘Emergency suspension’ refers to the suspension by the president or his designee with full salary pending the ultimate determination of the faculty member’s case where the faculty member is charged with misconduct and his or her continuance threatens imminent, serious harm to the member, to others, or to property. The scope and duration of the emergency suspension shall be tailored as narrowly as possible to the nature of the harm posed, so that the faculty member’s rights and privileges are not summarily abrogated more broadly than is reasonably necessary to protect persons or property pending completion of the suspension procedures.

“‘Faculty’ refers to full-time faculty members as described in the University Bylaws.”
POLICY 6.x

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The University Policy Office will populate this section upon promulgation.