Cornell University Academic Titles and Appointments Policy

Please consult the Appendix I for details about which titles are considered "academic."

Table of Contents

Reason for Policy
Policy Statement
Academic Titles
Academic Units and Faculties, and Academic Administration
Academic Appointment
Tenure, and Promotion to the Rank of Professor
The Ombudsman, Grievances, Sanctions
Appointment Termination
Appendix

- Appendix I – III: Academic Titles, Title Descriptions, and Modifiers
- Appendix IV: Academic Appointment Terms & Authorities
- Appendix V – VI: Titles Subject to Search Requirements, and Appointment Checklist
REASON FOR POLICY

The Cornell University Board of Trustees exercises the chartered authority to establish the university’s academic structure and units for achieving the plan of instruction and investigation. The Board determines what endeavors are academic.

Appointment to an academic title represents an affiliation with and normally a responsibility for the core academic endeavors of Cornell University. The Trustees govern what may be used as an academic title and basic terms, conditions and practices of appointment, promotion, and termination relating to academic appointment.

This policy provides a guide to the governing legislation and to policies and practices related to academic titles and appointments at Cornell University’s Ithaca and Geneva campuses in the State of New York.
POLICY STATEMENT

Cornell’s Board of Trustees creates and regulates the university’s academic titles. The Trustees also regulate the naming of positions, including those honorary and reflecting endowment. Eligibility for regular membership in a faculty depends on the academic title to which an individual is appointed.

The New York State Legislature’s Charter of Cornell University establishes or continues the New York State colleges and school at Cornell and empowers the Cornell University Board of Trustees to establish academic units and their faculties. The Trustees’ Bylaws of Cornell University define the basic membership, functions and jurisdiction of the University Faculty, the college and school faculties, the Graduate Faculty, the Faculty of Medicine, and the Faculty of the Graduate School of Medical Sciences. Academic departments also are characterized by a faculty of defined membership.

Academic appointment connects a qualified, authorized individual to an academic title for a designated period and set of responsibilities (or affiliation). Assignment of title is based on such criteria as academic responsibilities and professional achievement. The Trustees set limits to appointment duration and renewability. Academic appointment may require Trustee action; if not, approval is under the purview of presidential authority, exercised by the provost, deans or other executives, and through administrative processes. Appointment requires fulfillment of required processes. Cornell University is an affirmative action and equal opportunity employer; search requirements usually pertain. The Trustees regulate appointment to named positions and endowed chairs. Some academic titles are related in progressions or ranks. Promotions are governed by review processes and approval at a designated level of authority.

Academic appointments have specified start dates and end dates. The only academic appointments without specified end dates are for those professors whom the Board of Trustees has elected to “appointment with indefinite tenure,” commonly referred to as “tenure.” Tenure is available only to professors in or selected for appointment status designated as eligible for tenure, such as tenure-track appointment. After special review, tenure is awarded by provost's approval and Trustee confirmation. There is no longevity-based award of tenure at Cornell University.

Academic appointments offer opportunities and incur responsibilities and may entail managed employment obligations. Cornell has an independent Office of the University Ombudsman. Grievance procedures provide avenues for academic employees to seek redress of injustice of harm arising from a specific situation involving an act of alleged unfairness. Trustees’ procedures provide for the university’s right to terminate appointment for failure to perform duties required of the position or for personal misfeasance or malfeasance. Other sanctions short of dismissal may be exercised.

Termination of an academic appointment may be voluntary or involuntary. Provisions may pertain for length of notice of resignation, appointment termination or appointment non-renewal. Phased retirement is available for eligible tenured professors. Access to emeritus or emerita status is regulated; approval is merit-based and requires special procedures.
ACADEMIC TITLES

AUTHORITY TO ESTABLISH ACADEMIC TITLES

The Trustees’ Bylaws of Cornell University http://www.cornell.edu/trustees/cornell_bylaws.pdf determine the titles that may be used in appointment to the academic staff.

The process leading to establishment of a new academic title may be found on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html.

TITLES APPROVED FOR USE IN ACADEMIC APPOINTMENTS

The current list of academic titles authorized for the Ithaca and Geneva campuses by the Bylaws, the Provost, and University Faculty governance is available in Appendix 1. Only these titles are considered academic titles. Administrative titles, such as dean, director, and department chair, are not included and do not by themselves confer academic status.

Appointments to academic titles are approved under authority of either the Board of Trustees or the president; this presidential authority is exercised by the provost and for many actions is delegated further. Consult the “Academic Appointment” section of this policy for more information, and Appendix 4 for a list of approval authorities for specific academic titles.

CATEGORIES OF RESPONSIBILITY ASSIGNED TO ACADEMIC TITLES

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

A matrix showing the mix of responsibilities required for appointment to one of the regular, unmodified academic titles at Cornell is available on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html.

ACADEMIC TITLE DESCRIPTIONS

Title descriptions for specific academic titles may be found in Appendix 2.
MODIFIED ACADEMIC TITLES, INCLUDING APPOINTMENTS WITHOUT COMPENSATION

Academic titles are sometimes modified in regulated ways by the terms acting, adjunct, courtesy, or visiting. These modifiers are approved for use only with particular academic titles. Visiting also appears as part of four stand-alone titles: visiting fellow, visiting scholar, visiting scientist and visiting critic.

In a particular appointment only one modifier may be used with the academic title.

Appointment without compensation is limited to the titles postdoctoral fellow, visiting fellow and those modified by adjunct, courtesy, or visiting. Approved leave may be without salary. Please consult the policy “Leaves for Professors and Academic Staff” at http://www.policy.cornell.edu/vol6_2_1.cfm.

The Trustees’ Bylaws describe “Courtesy Appointments” and “Adjunct Professors.” They also provide that

“… Descriptive terms such as ‘visiting’, ‘acting’ or ‘research’ may precede titles. …”

and continue with language about the visiting fellow, visiting scholar, visiting scientist and visiting critic titles.

The approved usages of modifiers with academic titles are as follows:

- **Acting** may be applied only to the titles assistant professor, associate professor and professor.

- **Adjunct** may be applied only to the titles assistant professor, associate professor and professor.

- **Courtesy** may be applied only to the titles assistant professor, associate professor, professor, instructor, senior lecturer and lecturer.

- **Visiting** (as a modifier) may be applied only to the titles assistant professor, associate professor, professor, instructor, senior lecturer, lecturer, senior scholar and senior scientist.

Descriptions of approved modifiers of academic titles are available in Appendix 3.

THE PRACTICE OF USING FIELD DESIGNATORS AND WORKING TITLES

The dean has authority to approve the use of an appropriate field designator after an individual’s professorial title, such as “Professor of French Literature.” The dean may approve the use of an appropriate working title that does not mimic an academic title to which the individual is not appointed. In colleges with departmental structure, the field designator or
working title would be recommended by the department chair. Field designators and working titles may not imply appointment in a different department without the consent of that department’s chair and dean. Field designators and working titles are not recorded in the university’s appointment systems.

In field designators and working titles, any use of a name to honor a donor or other person is likely to be subject to endowment and establishment policies of the Board of Trustees. Determining whether a particular honorary use of a name is subject to these policies is the responsibility of the vice president in charge of development.

**Emeritus or Emerita Titles**

Access to *emeritus* or *emerita* status with academic or administrative titles is regulated. Nomination and approval are merit-based and require special procedures.

The Code of Legislation of the Graduate Faculty, available at [http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf), states in its section on Administration: the Graduate Faculty:

> “7. Graduate School Professorship A retired member of the graduate faculty may be appointed to a five-year, renewable term as a Graduate School Professor through a strong vote of support from the field membership. If the Graduate School Professor remains in the Ithaca or Geneva area, he or she may serve as a co-chair or a minor subject member of special committees formed during the five-year term; any restrictions that were in place during his or her membership on the graduate faculty apply as Graduate School Professor as well. Graduate School Professors who leave the Ithaca or Geneva area may serve only as minor members of special committees formed during the five-year term.”

Further information on access to *emeritus* or *emerita* status is available on the website of the Academic Personnel Policy Office and, for tenured professorial titles, in the Appendix 2 title description for “Professor Emeritus or Emerita” and in the “Provost’s Policy Statement on the Transition of Faculty to Emeritus Status,” posted on the website of the Academic Personnel Policy Office [http://www.ohr.cornell.edu/contact/hr/academicpersonnel/Index.html](http://www.ohr.cornell.edu/contact/hr/academicpersonnel/Index.html).

**Academic Named Positions and Endowed Chairs**

The term “endowed professorship” or “endowed chair” derives from a position’s being supported by the income from a donated endowment. Some historical honorary chairs carry a Trustee-approved name but are not supported by endowment, although they may be referred to as “endowed” chairs.

For an endowed chair or named position to be considered “academic,” the holder must be appointed by normal procedures to a Cornell University academic title. Approval to hold a named academic position or endowed chair does not change the academic title to which the
person is appointed or other aspects of the academic appointment, such as start or end dates or renewability. The end date approved for holding a named academic position or endowed chair may not exceed the end date of appointment to the academic title, although the approval may anticipate renewals or changes in status.

Two separate procedures relate to named positions and endowed chairs: establishment of the naming of the position; and approval for an individual to be appointed to the named position.

**Establishment:** The naming of positions, for instance in honor of a donor, is governed by legislation of the Cornell University Board of Trustees. This legislation applies to endowed professorships but also to the honorary naming of such positions as dean or department chair and of specified professorial and non-professorial academic titles, like senior scholar, senior lecturer or librarian. Determining whether a particular honorary use of a name is subject to the establishment provisions of this legislation is the responsibility of the vice president in charge of development. Information about minimum endowment levels may be found at http://www.alumni.cornell.edu/endowment.xls. When Trustee requirements pertain, formal action by the Executive Committee of the Board of Trustees is required for the endowment-based named position or the endowed chair to be “established.” When Trustee legislation does not pertain, a dean’s proposal to name a position honorarily must be approved by the provost. Ethical as well as contractual issues may restrict changes that may be made to the name, focus, filling or other administration of the named position. For instance, permission of a donor or estate administrator may be necessary to change an unspecified-term position to a limited-term position; a representative from the office of the vice president in charge of development should be involved.

**Approval for an individual to be appointed to a named position:** When the nature of the endowment limits the professorship to a single college or unit, the dean recommends a nominee to the provost. When the professorship could be held by a faculty member in more than one college, the provost may canvass the deans of those colleges for nominations before making the selection, except as otherwise provided in the professorship’s establishment. Terms of establishment may set forth special conditions or intentions for filling the named position – a dean’s recommendation letter would elaborate on how those criteria are met. Election to established endowed professorships and named positions is by action of the Board of Trustees’ Committee on Academic Affairs. Information about contents of the dean’s nomination packet, the schedule for a dean’s submission of nominations, and the effective dates of Trustee approvals is available on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html.

Chairs normally are awarded to tenured members of the faculty for the holder’s career in the college or department. The Trustees may act at the same meeting on recommendations to elect a professor to an endowed chair and to confirm tenure, but election to a chair or other named position does not confer tenure or eligibility for tenure. Named positions that involve appointment to highly restricted titles, such as university professor, senior scientist or senior scholar, require fulfillment of the special procedures attached to those titles for an individual to be recommended for appointment to the named position. Chairs may be awarded to individuals already at Cornell or to those from outside the University who will receive a Cornell
appointment to an academic title, effective with that appointment. An individual may hold more than one named position, particularly in administrative situations, but is expected to hold only one career-long endowed chair at any given time.

Some endowment-related positions are specified in the establishment action to be for limited terms, for instance for the duration of the holder’s appointment in a specific title or rank, or to meet limited-term programmatic objectives, or to be held coterminously with an academic administrative appointment. These limited-term named positions also are subject to the establishment provisions of Trustee legislation, but appointment of individuals to these positions may be reported to the Trustees’ Committee on Academic Affairs upon provost’s approval, rather than requiring prior Trustee approval through election by the Committee; the effective date may pre-date the report.

The terms of the donor may so narrowly define the discipline of the incumbent of the chair or named position that the award is limited to a single department, or they may be broad enough to encompass the entire University. Historical chairs also may be attached to a particular discipline, department or college by establishment or by agreement of the provost. For the holder of a chair that is attached to a particular academic unit, approval to move to a different academic unit may be contingent on surrender of the chair.

Affirmative action search procedure requirements do not pertain in selection to hold an endowed chair or named position, although they may govern appointment to the attached academic title or position; but the institution’s commitment to diversity http://www.cornell.edu/diversity/ and the Trustees’ policy statement http://www.ohr.cornell.edu/commitment/cultureInclusive/eeeostatement.html pertain.

Holding a long-term endowed professorship at the time of retirement may qualify for carrying the title honorarily into emeritus or emerita status. Please consult the title description for “Professor Emeritus or Emerita” for further information.
ACADEMIC UNITS AND FACULTIES, AND ACADEMIC ADMINISTRATION

AUTHORITY TO ESTABLISH ACADEMIC UNITS AND FACULTIES

The New York State Legislature’s Charter of Cornell University http://www.cornell.edu/trustees/cornell_charter.pdf establishes or continues the New York state colleges of veterinary medicine, human ecology, and agriculture and life sciences, the New York state school of industrial and labor relations, and the New York state agricultural experiment station at Geneva. The Charter constitutes the Board of Trustees of Cornell University and empowers the Trustees to embrace “in the plan of instruction and investigation” “such other branches of science and knowledge” “as the trustees may deem useful and proper,” with authority to establish academic units and faculties.

The Bylaws of Cornell University http://www.cornell.edu/trustees/docs/08-5%20bylaws%20w-TC.pdf are legislated by the Cornell University Board of Trustees and put forth basic rules for the university’s academic structure and governance. Regarding academic structure the Bylaws Article on “The University” states:

“Cornell University shall consist of such colleges, schools, centers and other separate academic units as have been or may be established by the Board of Trustees from time to time.”

ESTABLISHING NEW ACADEMIC UNITS

The Bylaws Article on “Deans, Directors and Other Academic Officers” states:

“In those colleges, schools and other separate academic units which are organized on a departmental basis, as designated by the Board of Trustees from time to time, there shall be a chairperson or other head of each such department.”

The Board of Trustees must authorize the creation of an academic department.

Not all academic units are organized as departments. Centers and institutes are established principally to foster and administer interdisciplinary studies and research that extend across the boundaries of two or more colleges. A January 1981 report, “The Importance of Centers and Institutes at Cornell University,” was presented to the Board of Trustees by Provost W. Keith Kennedy. The report emphasized the flexibility of organizational structure offered by the establishment of (and the option to discontinue more easily) such non-departmental, cross-disciplinary academic units as centers, programs and institutes; the report further underscored the fundamental role of academic departments and the importance of limiting the faculty appointment authority of institutes and centers in order not to encroach upon or weaken academic departments. Attached to this report was the May 1972 “Report of the Committee of the Deans Council on University Centers,” which continues to serve as guidelines for establishing such units. These reports may be found on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html.
Establishing a new academic department (a tenuring academic unit within a principal college or school) requires approval by the Board of Trustees, following approval by the Provost and the Dean.

The Dean receives preliminary approval from the Provost, who advises the Dean on the plans necessary for formal approval, such as academic, organizational, financial, space and human resource plans. The Dean also is responsible for overseeing compliance with University Faculty Senate procedures, fulfillment of procedures specified by the office of the Vice President for Planning and Budget regarding New York State approvals, and satisfaction of internal college requirements, such as those legislated by the College Faculty.

The University Faculty Senate Committee on Academic Programs and Policies is charged with conducting an initial screening of formal proposals for new academic programs or policies, including proposals for substantial modification or discontinuance of existing programs or policies; the Dean of Faculty can provide further information.

The University Faculty Senate adopted the resolution of the Faculty Senate Committee on Academic Programs and Policies in November 2001, “Widespread Consultation on Academic Unit Changes to Name or Degree Designation.” Naming or re-naming an academic department, center, program, institute or other academic unit invokes these procedures. A copy of the legislation is available at http://hr.cornell.edu/policies/academic/capp_consultation.pdf. The procedures involve informing the heads of other academic units such that concerns about the name changes may be brought to the attention of the Provost, the Dean of Faculty, and the College Deans. The recommended response time to allow for unit heads to inform their faculty and elicit discussion is two months. Contact the Office of the Dean of Faculty for further information.

Following Provost’s approval, the Dean’s office contacts the Academic Personnel Policy Office to arrange for submission of an agenda item for a meeting of the Board of Trustees, to obtain approval to formally establish and name the new academic department. With establishment, the college business officer pursues implementation in business systems.

Establishing a new intra-college program with a small budget requires Dean’s and Provost’s approval but will not require the University Faculty Senate and Trustee approvals that are necessary to establish a larger-budget or cross-college program, center or institute or a new academic department. Transaction authority levels define whether Trustee action is necessary (the 2004 annual budget threshold was considered to be $2 million).

**Academic Titles and The Faculties**

The faculties are the foundation of the University’s academic endeavor. Faculties are authorized and defined in the Trustees’ Bylaws of the University, available at http://www.cornell.edu/trustees/docs/08-5%20bylaws%20w-TC.pdf. Academic title is an initial
basis for membership in one or more of the several levels and types of faculties. Membership may be voting or non-voting.

In addition to membership, the Bylaws describe the functions and jurisdiction of the University Faculty, the college and school faculties, the Graduate Faculty, the Faculty of Medicine, and the Faculty of the Graduate School of Medical Sciences. Academic departments also are characterized by a faculty of defined membership, typically specified in departmental legislation.

The University Faculty

The University Faculty – basically professorial – delegates its legislative role to a representative body under the “Organization and Procedures of the University Faculty” (OPUF), available in the Faculty Handbook and on the University Faculty website [http://theuniversityfaculty.cornell.edu/](http://theuniversityfaculty.cornell.edu/). The OPUF constitutes a Faculty Senate to exercise most of its powers and functions. The University Faculty itself continues to exercise certain powers.

The Trustees’ Bylaws of Cornell University define the functions of the University Faculty, in addition to those related to students’ degrees, as follows:

“… to consider questions of educational policy which concern more than one college, school or separate academic unit, or are general in nature; …”

OPUF further states, regarding the relationships between administration and faculty governance:

“… The central administration, and in particular, the Provost and the President, will look to the University Faculty Committee for advice and consultation on all major policy issues that are of interest to the faculty. …”

The College and School Faculties

The college and school faculties include university professors, professors, associate professors and assistant professors; persons appointed to other academic titles may be non-voting members or (if given the right by the particular faculty) voting members of the college and school faculties. Further, there are circumstances in which non-voting members are given the right to vote, specifically from the Bylaws Article on “College and School Faculties,” as follows:

“… Clinical professors of all ranks, lecturers and senior lecturers shall participate fully in those decisions that are directly related to their roles within the college or school and within the department. The dean or director shall have the responsibility of identifying those issues that are related to their roles within the college or school, … . …”

In the 1998 “Provost’s Policy Statement on the Transition of Faculty to Emeritus Status” [http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html](http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html) Provost Randel wrote:
“I am asking each college and school to consider revising their policies to permit emeritus faculty to retain all of the college/school rights and privileges of active faculty members, including voting rights in the college/school faculty.”

The Trustees’ Bylaws of Cornell University define the functions of the college and school faculties, in addition to those related to students’ degrees, as follows:

“… Subject to the authority of the University Faculty in all matters affecting general educational policy, it shall be the duty of each separate college or school faculty … in general to exercise jurisdiction over … all other educational matters in the particular college or school. …”

The Academic Department Faculties

The Trustees’ Bylaws of Cornell University include the following about voting in academic department faculties:

“… Clinical professors of all ranks, lecturers and senior lecturers shall participate fully in those decisions that are directly related to their roles within the college or school and within the department. The dean or director shall have the responsibility of identifying those issues that are related to their roles within the college or school, and the department chair shall have that responsibility within the department. Within the department, those appointed to clinical professorial titles shall participate fully in hiring decision of others of their rank or in lower clinical professor ranks; senior lecturers shall participate fully in hiring decisions of other senior lecturers and lecturers, and lecturers shall participate fully in the hiring decisions of other lecturers. Notwithstanding the above, in units where the number of clinical professorial faculty, lecturers and senior lecturers is comparable to the number of professorial faculty, the Provost may determine the appropriate level of participation by clinical professorial faculty, lecturers and senior lecturers in curricular decisions. …”

Voting membership in a department faculty is not defined in Trustee legislation. Some departments have procedural rules that specify who may vote on various types of questions.

In the 1998 “Provost’s Policy Statement on the Transition of Faculty to Emeritus Status” [http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html] Provost Randel wrote:

“Emeritus faculty are to be welcome to attend departmental faculty meetings. Each department will set its own policies regarding voting rights and privileges, but these policies will be put in writing.”
The Graduate Faculty

The Trustees’ Bylaws define Graduate Faculty membership, beyond *ex officio* memberships, as

“… those members of the University staff of instruction and research who have been designated members of the Graduate Faculty by the dean of the Graduate School with approval of its general committee on the basis of recommendations made by fields of the Graduate School through their representatives and/or other members of the Graduate Faculty. …”

The Code of Legislation of the Graduate Faculty http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf describes its general members as typically

“selected from the voting members of the University faculty – that is, primarily professors, associate professors, and assistant professors with the highest degree in their field and unmodified titles who are resident on the Ithaca or Geneva campuses. …”

The Code of Legislation provides avenues for nomination for general and other categories of membership for those appointed to other academic titles. Such other information as eligibility, academic purview, nomination and status upon retirement also may be found in the Code.

**STATUS AS A MEMBER OF THE FACULTY OR ACADEMIC STAFF OR AS AN ACADEMIC AFFILIATE**

Status as an “academic” refers to status as a member of the University’s academic staff or as an academic affiliate; academic status is conferred only by formal appointment to a Bylaws-authorized academic title. Information about academic titles may be found in an earlier section of this policy. Information about appointment constitutes a later section.

Some, but not all, “academics” also are members of one or more faculties. The term “faculty” may refer to different sets of academics because different academic titles qualify for membership in a college faculty than in the University Faculty. “Faculty” status does not necessarily signify teaching responsibilities.

Executives and administrators who hold academic status do so by virtue of their concurrent appointment to one of the academic titles; an administrative title alone does not confer academic status. Conversely, executives and administrators do not surrender their academic status unless the academic appointment terminates. Executives and administrators who hold tenured appointments continue to be tenured in the academic department or school and may continue to exercise those rights and privileges.
DEAN, CHAIRPERSON, AND DIRECTOR: RESPONSIBILITIES

The “Appointments” section of this policy contains information on appointing deans, chairs, and directors.

The Bylaws of Cornell University, in the Article “Deans, Directors, and Other Academic Officers,” states:

“Deans, directors, and other heads of separate academic units shall have administrative responsibility for their respective units, including the personnel and all programs of instruction and research therein. They shall recommend persons to the President for appointment or election to the professional staff in such units.

“Deans, directors, and heads of separate academic units are responsible for control of expenditures for their respective units and the subordinate schools or departments therein, within budgets developed by the President and approved by the Board of Trustees. …

“In those colleges, schools and other separate academic units which are organized on a departmental basis, as designated by the Board of Trustees from time to time, there shall be a chairperson or other head of each such department. They shall be appointed by the dean or other head of the particular academic unit and shall be responsible to that officer for the coordination and promotion of instruction, research and extension and for supervision and coordination of personnel, fiscal and similar administrative matters in their respective departments.”

Academic Dean

The Bylaws Article on “The Provosts” includes:

“Under the President, the Provost shall be the chief educational officer with responsibility for oversight of all academic programs, and the chief operating officer with responsibility for providing general supervision of all units of the University, other than those reporting to the Provost for Medical Affairs.”

Deans represent their colleges in interactions with the Provost’s Office. They are responsible for effectively executing the responsibilities the provost designates; for example, carrying out academic and nonacademic affirmative action plans, complying with government and university regulations, and allocating space controlled by the college. They are responsible for controlling appropriated funds and allocating them among the departments and academic units in the college and for approving individual salary levels recommended by chairpersons. They select department chairpersons, as well as approve or recommend approval for all other appointments, reappointments, promotions, and changes in status of the academic and nonacademic staff. They are the final authority in the college for resolving disputes between faculty members and their chairpersons. They must approve proposals for sponsored research by faculty who have their primary appointment in the college.
Chairperson or Director of a School

Department chairpersons and directors of schools represent the department or school to the office of the dean. They are responsible to the dean for effectively executing the responsibilities the dean designates; for example, assigning faculty members to courses of instruction or extension work, allocating and controlling funds appropriated to the department or school, recommending salary levels within University guidelines to the deans, recommending to the dean appointments, reappointments, promotions, and changes in status of the academic and nonacademic personnel of the department or school, and allocating space. They must approve proposals by members of the department for sponsored research.

Director of an Intercollege Center

The responsibilities of directors of centers usually are defined in a charter for the organization. In some centers the authority for basic policies resides in an executive or governing committee, with the administration of these policies in the hands of the director. The committee or the director, whichever has the final authority, has a role similar to that of a department chairperson and reports to an academic officer designated by the provost.
ACADEMIC APPOINTMENT

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; the Trustees may approve unlimited duration (“indefinite tenure,” also called “tenure”) for certain professorial appointments.

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.

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. In addition to appointment-related policy information in this document, policy information may be found in the Faculty Handbook http://theuniversityfaculty.cornell.edu/handbook/handbook_main.html, for example the policy on “Romantic and Sexual Relationships Between Students and Staff” http://theuniversityfaculty.cornell.edu/FacultyHandbook/HandbookParts/Chapter6Revised.pdf and the University Policy Library http://www.policy.cornell.edu/, for example the policy “Standards of Ethical Conduct” http://www.policy.cornell.edu/vol4_6.cfm.

AUTHORITY TO MAKE APPOINTMENTS

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

Specific final academic authority levels pertain for appointments to particular academic titles. These are listed in Appendix 4. 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.
AUTHORITY TO CREATE AN ACADEMIC POSITION

New academic positions must be authorized. Procedures vary by college or school and by unit.

DESCRIPTING 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” section of this policy and in the Appendix.

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.

AFFIRMATIVE ACTION AND EQUAL EMPLOYMENT OPPORTUNITY

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 http://www.ohr.cornell.edu/commitment/cultureInclusive/eeeostatement.html.

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. 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 current designee is listed on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html. 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.

**Affirmative Action/Equal Employment Opportunity Search Requirements**

Please note: for professorial appointments, in addition to the search procedures described below, Cornell University Faculty legislation pertains, available in this policy’s section “Faculty Legislation on Selection of New Professorial Faculty Members.”

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 subject to affirmative action search requirements are listed in Appendix 5.

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.

The approval’s indication of the position’s academic title sets the baseline for the qualifying educational degree – higher levels or different degrees (such as professional degrees) may be required by the dean as qualification if linked substantively to the requirements of the position; preference for additional degrees may be stated. Information about the qualifying educational degree is necessary for listing and advertising the opening. Information about the minimum qualifying degree for appointment to an academic title is available in its title description; please consult Appendix 2.

Before a search is begun, an affirmative action search plan must be submitted to the dean or executive officer for approval and also to the 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 this office’s “Academic Search Protocols,” [http://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.

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 (5) 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.”

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 “Authority to Make Appointments,” earlier in this appointment policy, and Appendix 4, “Academic Appointment Terms & 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 the university policy, “Retention of University Records,”
http://policy.cornell.edu/CM_Images/Uploads/POL/vol4_7.pdf, in the Procedures table on 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.

**Exemptions from Search Requirements**

The affirmative action/equal employment opportunity search requirement pertains for all academic positions that involve appointment to a regular (unmodified) academic title, with some exceptions and exemptions.

*Search Requirements Do Not Pertain*

Postdocs: Appointments to the titles postdoctoral associate and postdoctoral fellow are not subject to search requirements.

Individuals Paid from Outside Funds: When the salaries of individuals are paid through means unconnected with Cornell, affirmative action/equal employment opportunity search requirements do not apply – these cases include visiting fellows; appointments in which the title is modified formally by “courtesy”; and visiting appointees paid by other institutions or agencies.

Adjuncts: Search procedures do not apply where the appointment title is modified formally by “adjunct.” A person whose title is modified by “adjunct” is one who, although his or
her primary responsibility is outside the department (for instance, in another department or outside the university), is willing to contribute part-time to the academic program.

Short-term appointments: In the case of appointments envisioned and implemented to last no longer than one year (full-time equivalent), individuals may be appointed without a search; however, such individuals may not be reappointed to a continuing position without a search.

**Search Considerations for Internal Appointees**

Internal academic appointees: In considering whether a search should be made when there would be a title change for an individual already appointed to an academic title at Cornell, one criterion is the availability of a new position. If a new position is available, a search or approval to waive the search is necessary. Accordingly, a college could change the responsibilities and title of a senior extension associate to senior research associate without an affirmative action/equal opportunity search being required if the senior extension associate position were not to be refilled. Promotions that occur in a normal, expected sequence do not require search procedures. A few examples that would not require a search are the normal promotion of an assistant professor to associate professor, or extension associate to senior extension associate. Normal promotion sequences are indentified in the title description for a particular title, available in this policy’s Appendix 2.

Internal movement to the tenure track: Because of the significant opportunity, in order to change an individual’s appointment from a title ineligible for tenure, or from a non-tenure-track professorial appointment, to a tenure-track or tenured appointment, obtaining an approved waiver of search or conducting the search is required.

Internal movement from non-academic to academic appointment: In order to appoint a member of the university’s non-academic staff to an academic title, if the academic appointment otherwise would be subject to affirmative action/equal employment opportunity search procedures, obtaining an approved waiver of search or conducting the search is required.

**Waiver of Academic Affirmative Action/Equal Employment Opportunity Search Requirement**

If special circumstances characterize the position or candidate, it may be permissible to forego a search. If, for instance, a search committee for a new dean has been authorized to limit the selection to a member of the faculty of the college, a formal affirmative action/equal employment opportunity search would not be required (but someone from outside the university could not be appointed without a search).

An academic unit may apply for a waiver of the affirmative action/equal employment opportunity search requirement, to appoint a specific candidate in special cases. The process for seeking a waiver is outlined in the Academic Search Protocols. Any questions should be discussed with the unit’s Diversity and Affirmative Action Representative (DAAR) and the office designated by the provost for leadership in academic diversity and inclusion – that office’s
approval of the waiver request must be obtained before the position may be offered to a candidate. Final approval of search waiver is at the discretion of the executive (typically a vice provost) in charge of that office.

In some circumstances, approval to waive search requirements would support the university’s affirmative action program or would have little impact on others’ equal employment opportunity. These circumstances include:

**Affirmative Action Status.** Approval may be sought for a search waiver to appoint an individual who is qualified for the position and whose gender, race/ethnicity, veteran, and/or disability status would assist the university in the context of its affirmative action programs.

**Unique Experience.** If an identified individual has unique qualifying experience, approval may be sought to waive the search requirement. For example, a professor might seek a waiver of search in the appointment of a new Cornell doctorate recipient as a research associate because of unique experience in a specific research project.

**Distinguished Short List.** A dean may authorize a department to strengthen its program through a distinguished appointment in a particular area. If consideration is limited to a short list of senior eligible individuals already known to the department, and if the position would not be filled if one of these individuals were not appointed, the department and dean would seek approval of a search waiver.

**Target of Opportunity.** When the opportunity to appoint a distinguished individual to the Cornell faculty arises, and when it would be highly unlikely for a search to result in a more qualified candidate, and when the delay created by a search might result in the loss of the opportunity, the department and dean would seek approval of a search waiver.

**Dual Career.** A pro-active and targeted recruitment or retention effort may support approval of a waiver of search for appointment of the spouse or partner to an academic title and position for which the individual is qualified.

**Sponsored Funding Restoration.** When an academic employee was involuntarily terminated from a sponsored program due solely to the lack of funds, and where the funding is restored within twelve (12) months, and where the employee would return to the same unit, titles and duties as held prior to termination, the unit and its leadership would seek approval of a waiver of search.

**Postdoc Recommended for Appointment as Research Associate.** In 1988, pursuant to an understanding with the federal Department of Labor’s Equal Employment Opportunity Commission, a memo was issued by Associate Vice President for Human Relations Joycelyn Hart and the Director of the Academic Personnel Office Susan Hoy governing the circumstances under which a waiver of search may be approved for an individual’s movement from appointment as Postdoctoral Associate
or Postdoctoral Fellow at Cornell to Research Associate. It notes that this involves movement from a title exempt from affirmative action search procedures to a title that requires search.

“If an individual is appointed as a Postdoctoral Associate or Postdoctoral Fellow at Cornell, then he/she must serve a minimum of three years in that same postdoctoral position before being considered for promotion to Research Associate. When the three year minimum has been met, and upon approval of the department chair and the dean, the faculty sponsor may request review of the postdoctoral position for possible promotion to research associate. Such promotions should only be considered when the faculty sponsor is willing to commit to a long-term, career-track appointment for the incumbent. … This three-year minimum rule applies to Cornell’s affirmative action program. Therefore, it applies to Cornell appointment only; prior employment in a postdoctoral position at another university does not count. To hire an individual at the postdoctoral level and then request promotion to a research associate level in less than the three-year minimum will be viewed by federal auditors as an abuse of our affirmative action policy and, therefore, ordinarily cannot be allowed. If for any reason it becomes important to promote a postdoc in less than three years, such a promotion should be done in connection with an open search involving full affirmative action procedures.”

The waiver for movement from postdoctoral title to research associate, in the context of a reclassification review, is exercised by the appropriate college or unit-level HR representative after training certification from the Academic Personnel Policy Office.

**FACULTY LEGISLATION ON SELECTION OF NEW PROFESSORIAL FACULTY MEMBERS**

**Faculty Appointments**

The following motion was adopted by the University Faculty on December 9, 1959 (Records, p. 2919), language has been altered for gender neutrality:

“It is moved that the Faculty accept the following as an expression of policy with respect to the appointment of Faculty:

“1. 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

A note about “recent Cornell Ph.D.’s” (#1b in the legislation) being considered for professorial appointment at Cornell: no member of the University Faculty or voting member of a college or school faculty may be a candidate for a degree administered by Cornell University. Please consult the section of this policy on “Appointment of Individuals Who Are Candidates for a Cornell Degree.”
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.

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 this policy’s “Tenure” section.

Letters of appointment may not be transmitted until the search requirements (including reporting and approval) have been fulfilled; please consult this policy section “Affirmative Action and Equal Opportunity Search Requirements.”

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.

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 postpayment.

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; please consult the “Appointment Termination” section of this policy. If an appointment of longer than a year is on nonappropriated 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 the Appendix and in the section below. [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. Please consult the checklist in Appendix 6 for additional details that might be mentioned.

Legislation on Appointment Letters: Professorial Duties

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 “Grievances” section of this policy for details].

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.

Appointment Letters: 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 on the website of the Academic Personnel Policy Office
http://www.ohr.cornell.edu/contacthr/academicpersonnel/Index.html.

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.
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.

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).

APPOINTMENTS OF DEANS, CHAIRPERSONS, AND DIRECTORS

The Article of the Bylaws of the University on “Deans, Directors and Other Academic Officers” states:

“There shall be a dean, director or other head of each college, school or other separate academic unit of the University. The deans, directors or other heads of the principal academic units described in Article I … shall be 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. In recommending a candidate for such office, the Provost, or Provost for Medical Affairs, as appropriate, shall report to the Committee the opinion of the appropriate faculty or other professional group upon such recommendation – such opinion to be ascertained as that group may determine. …”

Deans, associate deans, assistant deans, chairpersons, and directors do not necessarily have academic status (please consult the “Academic Titles” section of this 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 and Directors of Divisions

In October 2002 Provost Martin issued the following policy 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 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.
**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 nonjoint 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.”

Guidelines for joint appointments between the Ithaca campus and the Weill Cornell Medical College may be found on the website of the Academic Personnel Policy Office.
Appointments in Centers and Programs

**Joint Appointments**

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.

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.

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.

**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 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 nonprofessorial 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.

The Cornell University Conflicts Policy

http://www.policy.cornell.edu/cm_images/uploads/po
l/Conflicts.pdf states:

“Faculty and staff members who hold part-time appointments commonly will have major obligations and commitments, not only to the University, but to one or more outside agencies. The potential for conflict may be significant. Accordingly, part-time employees are expected to exercise special care in disclosing and fulfilling their multiple obligations.”

Information about benefits eligibility is available from the Benefit Services in the Division of Human Resources


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 [http://www.library.cornell.edu/staffweb/Procedures/Procedure13](http://www.library.cornell.edu/staffweb/Procedures/Procedure13).

In the prorating of sabbatical leave, consult the sabbatic section of Appendix 2 in the policy “Leaves for Professors and Academic Staff,” at [http://www.policy.cornell.edu/vol6_2_1.cfm](http://www.policy.cornell.edu/vol6_2_1.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.

**EXCEEDING 100 PERCENT OF FULL TIME**

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

For faculty, the “Cornell University Conflicts Policy” [http://www.policy.cornell.edu/cm_images/uploads/pol/Conflicts.pdf](http://www.policy.cornell.edu/cm_images/uploads/pol/Conflicts.pdf) 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 APPOINTMENT**

**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 [http://www.ohr.cornell.edu/contacthr/benefitservices/index.html].

**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.”

**Nonfaculty 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 elsewhere (e.g., in the university summer session or in connection with sponsored research projects under university auspices). No member of the faculty is required to teach in the summer session.

Faculty members on twelve-month appointments are normally required to perform year-round duties except for the planned vacation period (please consult the policy “Leaves for Professors and Academic Staff” [http://www.policy.cornell.edu/vol6_2_1.cfm](http://www.policy.cornell.edu/vol6_2_1.cfm), Appendix A).

Faculty members who teach during the summer session and/or work on sponsored research may receive up to a maximum of three months’ summer salary, if prior approval is given by the respective deans. The normal maximum period for charging summer salaries to sponsored research projects at Cornell is two and one-half months. All compensation for summer employment at Cornell must be for time actually spent in connection with the project during the officially designated summer period; for research the sponsor and the project director or the principal investigator must agree. The salary rate cannot exceed the rate to be paid during the coming academic year. The summer salary rate for those who will not be employed at Cornell during the coming year cannot exceed the rate for the preceding year. The Office of Sponsored Programs can be contacted for details.
INTERCOLLEGE 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 http://www.payments.cornell.edu 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. Intercollege 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.

Federal policy. A unique problem arises when intrauniversity 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 http://whitehouse.gov/omb/circulars/a021/a021.html. 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 intrauniversity 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 intercollege 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.
CONFLICTS OF INTEREST AND CONFLICTS OF COMMITMENT, AND THE PRIMARY COMMITMENT TO THE UNIVERSITY

The Trustees’ Bylaws of Cornell University, in the Article on “Conflicts of Interest,” state:

“It is the policy of the University to disclose conflicts of interest which may adversely affect the performance of duty by its trustees, officers, faculty and other employees.

“Policies and procedures in implementation of this bylaw, as approved by the Board of Trustees from time to time, shall provide that all trustees, and officers of the corporation, Vice Presidents, Vice Provosts, and other personnel so designated, shall file disclosure statements with the Secretary of the Corporation on a regular basis.”

“Other personnel so designated” is defined by the University Committee on Conflicts, charged by the “Cornell University Conflicts Policy” to

“serve as a University resource with respect to matters involving the general subject of conflicts of interest and commitment, the oversight and implementation of the Cornell University Conflicts Policy, and the identification and resolution of specific conflicts of interest.”

The Committee’s responsibility includes overseeing the process of annual disclosure for academic personnel. The administrative procedures for the Annual Disclosure Form are available at http://www.oria.cornell.edu/coi/# and list the academic titles for which annual disclosure filing is required (most academic titles, including most “Visiting” titles) and those for which filing is at the discretion of the dean or department chair.

The Cornell University Conflicts Policy, covering conflicts of interest and conflicts of commitment, was adopted by the Board of Trustees on May 31, 1986, with subsequent amendments and clarifying footnotes. The policy is available at http://theuniversityfaculty.cornell.edu/pdfs/Conflicts.pdf.

The policy addresses many members of the university community, including particular provisions for full-time faculty, part-time faculty, academic executives, and academic administrators, as well as staff, for whom they may have supervisory responsibility. The policy’s Introduction discusses “The Primary Commitment to the University”:

“Trustees, executive officers, deans, directors, faculty and staff all serve the educational and public purposes to which the University is dedicated. Accordingly, all such members of the University community (hereafter "members") have a clear obligation to conduct the affairs of the University in a manner consistent with those purposes and to make all decisions solely on the basis of a desire to promote the best interests of the institution. [1 “ Refers to decisions made in conducting the affairs of the University.]
“This statement recognizes and affirms the settled tradition and expectation that members will conduct their relationships with each other and the University with candor and integrity.

“This statement confirms the University policy that faculty and other employees who accept full-time appointments have a primary commitment to the University and that they will be sensitive to the possible adverse effects of their external activities. It is recognized, however, that the quality of teaching, research, extension service, and the administration of University programs may be enhanced when members participate in extramural activities which enhance their value to the University, so long as their primary commitments to the University are not adversely affected.

The University similarly encourages participation in community and civic activities. As with other external engagements, employees who consider serving in elected or appointed positions on local government councils, boards and commissions should disclose and discuss such part-time opportunities with their supervisors to ensure that there is no conflict with their primary commitment to the University. University employees elected or appointed to part-time public positions are generally free to consider and vote on any matter involving the University, unless the individual falls into one of the following three categories:

(1) **trustees and senior level officials**, including officers of the corporation (the president, provosts, senior vice president and chief financial officer and the university counsel and secretary of the corporation), vice presidents and vice provosts, the deans of the schools and colleges, and the directors of the university libraries and of the division of nutritional sciences, should refrain from discussions and voting on **any matter involving Cornell’s interests**;

(2) **other employees with managerial responsibilities**, including full-time faculty, academic department heads, and administrative directors, should similarly recuse themselves from participating in the municipal decisional process regarding **specific matters that directly involve their particular Cornell unit (administrative division, school or college) or area of responsibility**; and

(3) **all University employees** should similarly recuse themselves from participating in the municipal decisional process regarding **issues over which they have specific authority**.

“This three-tiered analysis (i.e., to determine when recusal is required) should similarly be used to identify those circumstances in which the possible adverse effects of other extramural activities upon the University should be considered in evaluating the potential for conflict of interest. Thus, when pursuing extramural activities not specifically covered in the conflicts policy or limited by the three-tiered analysis, employees are not required by Cornell to take the interests of the University into account.

“These policies and procedures will permit members of the faculty, staff and administration to identify, evaluate and correct or remove real, apparent and potential conflicts of interest and commitment. The appearance that a conflict may be present may be as important as the reality. Accordingly, the first essential step in all of the procedures set forth … is disclosure and discussion.”

The policy identifies, and in Attachment A provides examples of, two categories of conflicts:

“A. Conflict of Interest

“Typically, a conflict of interest may arise when a member has the opportunity to
influence the University's business, administrative, academic or other decisions in ways that could lead to personal gain or advantage of any kind.”

and

“B. Conflict of Commitment

“A conflict of commitment arises when a member undertakes external commitments which burden or interfere with the member's primary obligations and commitments to Cornell.”

The policy addresses conflict disclosure and avoidance, plus resolution of conflicts. It attaches the Consulting Policy (please consult section below) and makes it part of the Conflicts policy.

**Nepotism**

The University seeks to provide equitable employment opportunities to all individuals. To achieve this objective and ensure that family ties not be permitted to influence judgments on the quality of work or decisions on hiring, promoting, or terminating, the University requires that a person not be a supervisor of another person related by blood or marriage without the written approval of the appropriate dean or vice president.

A person’s parents, children, and siblings are considered “relatives” for this purpose.

In academic departments and other units, where the person appointed as chair will change periodically and may invoke a situation that could lead to nepotism, an alternative senior faculty member or one of the deans is designated to make these judgments and decisions.

**Political Process**

The Cornell University Conflicts Policy (please consult previous section of this policy) notes that the university “encourages participation in community and civic activities.”

The University Faculty’s May 11, 1960, statement on “Principles of Academic Freedom and Responsibility includes these excerpts that relate to community and civic activities (please consult the Faculty Handbook [http://theuniversityfaculty.cornell.edu/handbook/handbook_main.html](http://theuniversityfaculty.cornell.edu/handbook/handbook_main.html) and the “Tenure” section of this policy for further information):

“Academic Freedom for the Faculty of Cornell University means:

“Freedom: … to speak and write as a citizen without institutional censorship or discipline;
“and

“Responsibility: … to make it clear that utterances made on one’s own responsibility are not those of an institutional spokesman.”

With regard to political activities, the following excerpts are from the Trustees’ Executive Committee September 15, 1970, legislation on “The University and the Political Process,” and the fuller version of the policy is available from the Office of the University Counsel. Words in *italics* indicate updates communicated to the university community in September 2008 by Vice President for University Communications Thomas W. Bruce and Vice President for Government and Community Relations Stephen Philip Johnson.

“A Statement of Policy for Cornell University

“This statement sets forth the elements of an appropriate relationship between Cornell University and those political activities in which the University's students, faculty and staff may become involved either on or off campus. Its purpose is to preserve the impartial status of the University as an educational institution (*vis-à-vis* particular political causes or candidates) while providing maximum freedom of thought and action to individuals. …

“It is appropriate that Cornell stoutly support freedom of thought and expression by individual citizens in matters of political advocacy. At the same time, Cornell must refrain from official institutional involvement in any particular political cause or on behalf of any particular political candidate. This impartial posture in a free and open atmosphere is essential to Cornell's continued success as a center of learning. … The following points of policy are intended for the guidance and protection of all concerned persons …:

1. The name, seal or other insignia of the University or its components may not be used in connection with the solicitation of funds or endorsements for particular political platform or candidates or in support of particular legislation or policy proposal unrelated to its educational purposes and programs.

2. No University office nor the office of a faculty or staff member should be used for solicitation of political funds or endorsements. Recognized campus political clubs or organizations should clearly indicate their separateness from the University in making such solicitations.

*Cornell does not condone the use of university resources, including professional affiliations and titles, to advance personal views of any nature, and directs individuals to use distinct private, non-Cornell e-mail accounts (i.e. gmail, yahoo, hotmail, etc.) for such purposes.*

3. Members of the faculty or staff who have expertise in a given field and who wish to make their views known, or whose expert opinions are sought, are free to do so. While
it is appropriate in these cases to point out in the body of a letter or electronic communications one’s professional affiliation, such members of the faculty or staff who so identify themselves shall clearly state that they are speaking individually and not on behalf of the university. When engaged in political statements or correspondence, any member of the faculty or staff who so identifies himself, should clearly state that he is speaking individually and not in behalf of the University.

“4. Administrative facilities, equipment and services of the University (e.g., campus mail, telephones, computers, duplicating and addressograph machines) may not be used for political or other non-University purposes nor may any University employee be asked to perform politically related activity while on duty.

“5. University space and facilities may continue to be available on an impartial basis, as in the past, for meetings, speeches, rallies and other appropriate political activities. All such uses must be processed through regular established University channels and be primarily for the benefit of members of the University community. Appropriate service charges will be imposed to compensate the University for its expenses to insure that such political use of University facilities is not subsidized from University funds.

“The Vice President for University Communications, as the university’s spokesperson, is the executive staff officer designated with the principal responsibility in such matters, and questions ... in this regard should be addressed to his attention.

“The university refrains from taking position on public policy issues, except where its interest is directly or substantially affected. When the university does take a position on matters of public policy, it is done principally through the Office of Government and Community Relations.”

**PRIVATE CONSULTING BY FACULTY MEMBERS**

The policy on private consulting has been made part of the Cornell University Conflicts Policy (please consult the section of this policy on “Conflicts of Interest and Conflicts of Commitment”).

“Principles. Consulting privileges are limited to the professorial staff and there are many reasons why faculty members should engage in outside consulting work. It is desirable that they remain in close communication with the world outside the institution and especially with that part of the world concerned with their area of specialization. Consulting is a means of maintaining this liaison as well as of offering solutions to practical problems and thereby testing the soundness of theories taught in the classroom and laboratories. While consulting activities often enhance a faculty member’s value to Cornell, it can result in conflicts of interest and conflicts of commitment which compromise the faculty member and the institution.
“In private consulting it must be kept clear that the faculty member does not represent the university. Private consulting activities of faculty members must be viewed in relation to their overall responsibilities to Cornell and should not become so extensive that they interfere with those responsibilities.

“Policy.

“Full-time faculty members must inform their department chairpersons of all plans to do private consulting for which they are compensated. Unless the regular duties include consulting services to the public, each full-time professor may engage in private consulting work, provided such work, in the judgment of the department chairperson and in accordance with the principles stated above, enhances the value of the individual to the University and does not interfere with regular University duties. Consulting work of an unusual nature may be undertaken only when approved by the dean of the faculty member’s college.

“The law establishing the contract colleges requires faculty members in these colleges to perform teaching, research, and extension duties. Faculty members in contract units should therefore check with their department chairpersons before consulting for a fee with New York State corporations or organizations that may be entitled to extension help without cost.

“In general, faculty members in the endowed colleges may undertake paid consulting for the equivalent of one day a week during the period for which they are paid for service. Faculty members in the College of Agriculture and Life Sciences, the College of Human Ecology and the College of Veterinary Medicine may consult for the equivalent of two days a month; those in the School of Industrial and Labor Relations may consult for the equivalent of one day a week. The time that a faculty member is allowed to consult does not accumulate from year to year. Consulting involving time beyond that allowed, or necessitating an absence from the campus for longer than seven consecutive days, may be undertaken only when approved by the dean of the faculty member’s school or college.

“Note: Individual schools, colleges or divisions may have promulgated additional consulting rules consistent with the Cornell University Conflicts Policy. Such supplemental rules may be obtained from the individual schools, colleges or divisions.”

‘INVENTION AND RELATED PROPERTY RIGHTS ACKNOWLEDGEMENT’ FORM (PATENT AGREEMENT)

Cornell University’s policy on “Inventions and Related Property Rights” http://www.policy.cornell.edu/vol1_5.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 http://www.research.cornell.edu/vpr/policies/default.html.

**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 the policy “Leaves for Professors and Academic Staff” at http://www.policy.cornell.edu/vol6_2_1.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 of Individuals Who Are Candidates for a Cornell Degree**

The Bylaws of the University impose limitations on the types of appointments that can be held by those who are candidates for a degree administered by Cornell University.

The Bylaws Article on “The University Faculty” includes the following:

“No member of the University Faculty may be a candidate for a degree administered by Cornell University.”
This prohibition pertains whether the University Faculty membership status is voting or non-voting. It should be noted that all professorial titles, including those modified by “acting,” “adjunct,” “courtesy” or “visiting,” confer membership in the University Faculty (even though not all such titles confer voting privileges.)

Since the policy is expressed in the Bylaws, the president and provost are not authorized to make exceptions.

Individuals who are working toward a Cornell degree are considered to be candidates even though they may not be registered in, for instance, the Graduate School. This includes students who are on approved leave and would not have to apply for readmission to register to resume studies. It does not apply to students who have withdrawn.

In March 1979, the Committee on Policies and Procedures of the University Faculty recommended that individuals cease to be candidates for an advanced degree only after the degree list containing their names has been approved by the Graduate Faculty. The Code of Legislation of the Graduate Faculty
http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf provides this information:

“The graduate faculty meets to vote on degrees in August, January, and May, immediately following the degree deadlines.”

There is a further limitation contained in the Bylaws Article on “College and School Faculties” which reads:

“No voting member of a college or school faculty may be a candidate for a degree administered by Cornell University.”

According to this Bylaw, a candidate for a Cornell degree may not be appointed to a position that confers voting membership in a college or school faculty. Since appointments of degree candidates to professorial ranks is precluded by “The University Faculty” Article, as previously noted, the “College and School Faculties” Article applies to appointments to academic positions other than those at the professorial level. It is possible for members of the College or School Faculty who are not members of the University Faculty and who become candidates for a Cornell degree to be removed from the list of voting members for the duration of their degree candidacy.

The Code of Legislation of the Graduate Faculty
http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf notes the above constraints and adds in a footnote:

“… members of the University Faculty may apply for non-degree student status but must pay tuition. Those who pursue this option may not, under any circumstances, receive registration units for any time during which they were registered as non-degree students.”
Because there are circumstances under which a candidate for a degree administered by Cornell could be appointed to a non-professorial academic title (or modified title), such as instructor or lecturer, the Code of Legislation of the Graduate Faculty [http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf) governs the extent to which employment will affect opportunities for accumulation of registration units, and thus both progress toward the degree and full-time status. Students who wish to earn registration units while employed for 21 to 40 hours must obtain the prior approval of their special committee chair and their Director of Graduate Studies; written approval must be provided for appointment to an academic title to be authorized and processed. Further limitations apply to students who hold fellowships or graduate research assistantships. A student on an official leave from a Cornell-administered degree program must provide the official, approved leave form for authorization and processing of the appointment (to non-professorial title) unless the individual provides proof of having passed the thesis defense examination. Please consult the Code’s section on “Registration Units” for further information. Special provisions for particular academic titles follow:

- **Instructor.** If after conducting an affirmative action search for a tenure-track assistant professor, a department selects a candidate who has not completed all requirements for the highest academic degree, then the initial appointment may be made at the level of instructor. For candidates for degrees administered by Cornell, the ensuing title change to assistant professor can occur only after the Graduate Faculty or other relevant faculty body has voted on the degree list. Candidates for degrees administered by Cornell University cannot be voting members of their college faculty.

- **Lecturer.** An advanced student enrolled in an advanced degree program administered by Cornell, with the consent of the student’s special committee (or equivalent), can be appointed to a lecturer position only for one semester at a time. Appointment for more than 50-percent time during a semester requires specific prior approval of the student’s special committee chair and their Director of Graduate Studies; written approval must be provided for appointment to be authorized and processed. Candidates for degrees administered by Cornell University cannot be voting members of their college faculty.

- **Research Associate.** Cornell doctoral candidates who have passed the thesis defense but who have yet to submit the dissertation to the Graduate School may be appointed as a research associate for a period not to exceed six months; when the thesis is accepted by the Graduate School, the original appointment can be extended up to three years. Candidates for degrees administered by Cornell University cannot be voting members of their college faculty.

- **Postdoctoral Associate or Postdoctoral Fellow.** Cornell doctoral candidates who submit proof of having passed the thesis defense but who have yet to submit their dissertation to the Graduate School may be appointed as postdoctoral associate or postdoctoral fellow for a period not to exceed six months. When the thesis is accepted by the Graduate School, the original appointment may be extended to one year. Candidates for degrees administered by Cornell University cannot be voting members of their college faculty.
**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 the Appendix to 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. (Please consult this policy’s “Tenure” section and the title descriptions in this policy’s Appendix). 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” 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” 
http://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 http://www.payments.cornell.edu/Visa_IssuesImmigration_Law_Restrictions2.cfm. For further information, including general information about tax withholding on payments, visit the Cornell University Payment and Tax Services website http://www.payments.cornell.edu/For_Foreign_Nationals.cfm.

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 http://www.ohr.cornell.edu/hr/hrmanage/formsProcedures/appointingPaying/internat.html and http://www.ohr.cornell.edu/hr/hrmanage/formsProcedures/appointingPaying/I9faqs.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.

REAPPOINTMENTS

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,

“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” section of this 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.
TENURE, AND PROMOTION TO THE RANK OF PROFESSOR

GENERAL COMMENTS ON TENURE

Academic Freedom

Tenure represents the highest level of investment in academic freedom and responsibility by Cornell University and its professors.

The University Faculty adopted the following statement on May 11, 1960:

“Principles of Academic Freedom and Responsibility

“Academic Freedom for the Faculty of Cornell University means:

“Freedom: of expression in the classroom on matters relevant to the subject and the purpose of the course and of choice of methods in classroom teaching; from direction and restraint in scholarship, research, and creative expression and in the discussion and publication of the results thereof; to speak and write as a citizen without institutional censorship or discipline;

“and

“Responsibility: to perform faithfully the duties of the position; to observe the special obligations of a member of a learned profession and an officer of an educational institution to seek and respect the truth; to make it clear that utterances made on one’s own responsibility are not those of an institutional spokesman.”

Further discussion may be found at the beginning of Chapter 5 of the Faculty Handbook http://theuniversityfaculty.cornell.edu/handbook/handbook_main.html.

The strength of a department, a college and the University depends on the wisdom of the decisions on tenure appointments. No single factor is more important to the future of the University than the excellence of its faculty.

No individual has a right to tenure; the ultimate good of the institution, as judged by the process of evaluation, is paramount. Few other decisions about individuals involve such extensive solicitation of advice, internal and external, or have so many steps in the approval process.

While it is generally understood that departments are not authorized to confer tenure, at times there is the feeling that the de facto power is at the department level. There have been instances where department chairpersons, in discussions with candidates or appointees, have minimized the possibility of a negative decision at levels beyond the department. While it is true that the majority of departmental decisions are approved, there is a significant fraction which are
not. Thus, caution is advised in any discussions of the probability of the approval of a recommendation.

At Cornell deans have considerable freedom in administering their colleges. In the case of tenure appointments, however, the University review of a dean’s commendation is not pro forma.

While most tenure recommendations from colleges are approved, each is scrutinized by the provost, and the judgment of the department, the ad hoc committee, and the dean is not automatically accepted. The Board of Trustees approves the appointment of individuals to tenure by secret ballot.

Tenured Appointment, and Tenured Appointment on External Funds

From a technical appointment perspective, “tenure” refers to academic appointment with no end-date, or “appointment with indefinite tenure.” At Cornell University tenure is applied in appointments only to the titles University professor, professor and associate professor, and only in such appointments specifically designated to be tenure-eligible.

Those upon whom tenure has been conferred are appointed for an indefinite term. However, according to the Bylaws of the University:

“… 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.’

A college or 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 soon will be available.

University Criteria for Tenure

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

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

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

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

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

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

**The Probationary Period**

Probationary tenure status (or being on the tenure track) is the period of evaluation before the tenure decision. For faculty early in their academic career, usually assistant professors, the probationary period is normally six years. The beginning of the probationary period does not necessarily coincide with the first appointment at Cornell. While there are some appointments at the tenure level, the majority of the tenure appointments at Cornell result from a positive evaluation of performance during the probationary tenure period.

The initial appointment to the Cornell faculty of a highly qualified person who already is credited with significant achievements may be at the rank of associate or even full professor, but without indefinite tenure. Such appointments are for a limited term of not more than five years, typically in a probationary tenure status. Such appointments are made when there is uncertainty concerning some aspect of the role the faculty member is to assume. For example, an individual with an industrial background might have an established reputation in research but no teaching experience. In such a case the purpose of the probationary period is to establish competence in teaching and the ability to perform in an academic environment. That is, the award of tenure is
deferred until the faculty member and the University become well-acquainted and a review leading to the long-term tenure decision is possible.

Since initial appointments of associate professors and professors in probationary tenure status are expected to result in a tenure appointment after a shorter period, the evaluation should be rigorous. It is better to have a rigorous evaluation before the appointment is made than have a negative decision years later. For this reason, the procedures to be followed are the same as those for an external appointment to tenure. Prior approval of the dean and the provost is required before such offers can be made.

More commonly, however, an individual enters an academic career with minimal experience, and if tenure and promotion to the rank of associate professor is to be awarded, it follows a period in probationary tenure status as an assistant professor. The length of that period depends on the amount of professional experience the individual has acquired between earning the terminal degree in the field and the initial appointment as assistant professor. If that period is no more than a year or so, the candidate’s tenure clock is six years. In such cases the initial appointment is normally for three or four years at the assistant professor level. A candidate who, by the end of this appointment, has fulfilled the expectations of the department is reappointed in the same rank for a second term, to a total of six years at that level; the candidate usually is reviewed for promotion and tenure during the sixth year at Cornell, typically the third year of the second term of appointment as assistant professor. If the tenure review is successful and achieves the final approvals of the provost and Board of Trustees, the individual is given an appointment without an end-date, that is, “appointment with indefinite tenure,” also known as tenure.

According to the Trustees’ Bylaws of the University [http://www.cornell.edu/trustees/docs/08-5%20bylaws%20w-TC.pdf](http://www.cornell.edu/trustees/docs/08-5%20bylaws%20w-TC.pdf), a faculty member may not hold the position of assistant professor for more than the equivalent of six years of full-time service, unless in the judgment of the provost, a temporary extension is warranted. There is no provision at Cornell for de facto tenure after any number of years.

There are other possible patterns. A candidate for tenure may have sufficient experience elsewhere in a professorial rank to justify a reduction in the six-year probationary period. In such a case the department may recommend an appointment as an assistant professor with the stipulation that the tenure decision be made in less than six years. The maximum reduction in the probationary period normally is three years.

In all cases of appointments involving probationary tenure status, it is important that the candidate understand the procedures and the tenure decision. Information on the timing of the tenure decision should be in the letter of appointment and any reduction of the probationary period because of prior experience should be clearly noted.

The following are other factors about the length of probationary tenure status:

1. Cornell Academic Parental Leave policy provides for automatically extending the tenure clock for primary or co-equal caregiving parents (including parents of adopted and foster
children); please consult pages the policy, particularly pages 44-45 at http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol6_2_1.pdf. The same policy’s section on “Leave Options in Caring for Family or for Yourself” includes provisions for requesting tenure clock extension if interference with the academic program is substantial around eldercare or caring for special-needs children.

2. The length of the probationary period for part-time faculty is prorated (“… 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 … . …” For more information and other provisions please consult the Part-Time Appointment Policy, in the Faculty Handbook or the Appointments section of this policy.)

3. A leave of absence without pay extends the term of an appointment only when this is recommended in writing by the department chairperson and approved by the dean. The department chairperson and the individual should arrive at an explicit understanding of whether a leave is to be counted as part of the probationary period. The department chairperson attaches to the form requesting the leave a statement describing this understanding and gives the professor a copy. The dean’s signature on the statement indicates approval. This policy was approved by the Deans’ Council on December 18, 1972. It is necessary to notify the Academic Personnel Policy Office about such extensions surrounding leave without salary.

4. Faculty study leave is included as part of the probationary period.

5. Policy for Intergovernmental Personnel Act (IPA) Leave provides that “professors in probationary tenure status who anticipate substantial disruption to the academic program on which tenure evaluation would be based may request an adjustment in the tenure clock or timetable. With the department chair’s support, approval may be recommended to the dean and the provost.” Please consult the policy “Leaves for Professors and Academic Staff,” the section on Intergovernmental Personnel Act Leave, pages 36-37 at http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol6_2_1.pdf.

6. Policy governing Academic Short-term Medical Leave provides that “in many cases, Short-term Medical Leave will not alter the tenure timetable; however, professors in probationary tenure status whose research and teaching programs have been seriously compromised may request in writing that the tenure timetable be revised by a semester or a year. Approval of such a request, specifying the new review schedule, requires review by the department chair, the dean, and the provost, via the Academic Personnel Policy Office, except as provided for in Cornell Academic Parental Leave.”

7. The tenure clock is designed to provide an equitable number of semesters for a professor to develop tenurable achievements and trajectory and for the review potentially to conclude with implementation of Trustee approval. Acting on a professor’s request supported by the chair and the dean, the provost has the final authority to extend a tenure clock (including time permitted in the title) to restore equitable time on the tenure clock.
THE EVALUATION OF TENURE-TRACK FACULTY WHO ARE ELIGIBLE FOR REAPPOINTMENT

While it is highly desirable to keep tenure candidates informed of their progress, it is not easy to predict the outcome of a formal review some years in the future. New faculty members frequently are inexperienced in teaching, are beginning their scholarly effort or are establishing research programs. For these reasons assistant professors generally are reappointed to a second term except in those cases where it appears that the chances for eventual tenure are small. Thus, individuals may attach undue significance to a reappointment in terms of eventual promotion. This is especially true when they have received no negative information in regard to their performance.

Some of the misunderstandings arise from the fact that an extensive and formal evaluation occurs only once during the probationary period. It may be only in the sixth year that external reviews are sought and teaching and service evaluation trends are compiled over a number of years. At times, under this intensive review, the candidate does not fare as well as the department faculty had expected.

While there are difficulties with ongoing evaluations of the chances of an assistant professor being promoted, efforts should be made to pass on as much information as possible to candidates for tenure in an honest and straightforward manner.

At the time of reappointment, the chairperson should assemble as much relevant information as might be available and convene a meeting of the tenured faculty. The strengths and weaknesses of the candidate in scholarship, teaching and service should be evaluated and the faculty should arrive at a recommendation on reappointment. The individual should be informed of the details of this evaluation, particularly in respect to any weaknesses, with an appropriate caution that the evaluation is preliminary relative to the eventual tenure decision. This information should be in a reappointment review report (with care to protect confidentiality) given to the candidate or in the reappointment letter.

In addition, the chairperson has the responsibility of remaining informed of the individual’s performance. Discussions should be held periodically with at least some tenured members of the department to obtain a broader view of the candidate’s performance. If the chairperson receives any negative information regarding the candidate’s performance, it should be discussed with the individual. Assistant professors may not be aware of such negative aspects of their performance and they should be informed so that they have the opportunity of taking corrective action. Further, if such information is not divulged, the candidate easily could develop an unrealistic expectation of a positive tenure decision.

Insofar as possible, candidates should be informed at the beginning of their probationary period of the criteria on which they will be judged at the time of their tenure review. However, it is not feasible to do so except in general terms. It is not appropriate to state, for example, that a positive tenure decision will result from a specified number of publications, a particular award, or certain scores on teaching evaluations. Obviously, the combination of the quality of the
research or scholarly publications with the volume of work is a factor which requires judgment at
the time of the review and which is impossible to put in quantitative terms.

It is very difficult to specify the requirements for promotion to such a degree that the
individual can confidently predict the outcome of the faculty decision relative to the tenure
review.

While the above discussion has been limited to assistant professors, there are at times
individuals with rank of associate professor or professor who are in a tenure probationary period.
In these cases, it is the responsibility of the chair, in consultation with other faculty, to be aware
of the progress of such individuals and to discuss any potential deficiencies with them.

PROCEDURES FOR PROMOTION TO TENURE

Recommendations for tenure appointment originate in the university’s Trustee-authorized
academic departments or, if not organized on a departmental basis, tenure-authorized schools.
Permission to initiate a tenure review must be obtained from the dean, because it commits the
college or school to long-term support of the position.

Departmental Procedures: To Undertake a Tenure Review

If tenure review is requested to be conducted early, before the department’s normal
schedule anticipating the end of the probationary period, an explanation should be provided to
the dean, who requests approval of the provost before the evaluation can be initiated.

A department is not bound to undertake a tenure review for all those on the tenure ladder.
The appointment of a faculty member for a definite term may be terminated for reasons
involving staffing patterns, the decline in relevance of a research area to the mission of the
department, or lack of funds. In such a case, the faculty member should receive written notice as
early as possible that there will be no review and should be given a one year terminal
appointment and be informed of any other suitable open faculty positions in the university.

For the purpose of determining the start of the terminal appointment, the date of
notification shall be considered to be the date of written notification of the first negative
decision, and shall be unaffected by subsequent appeals. Notice of a terminal appointment must
be given in writing to the individual, which allows that individual to serve two full academic
terms following receipt of the first written notice of the negative decision. An academic term
(i.e., semester) is the period of time beginning two working days before registration and ending
on the last day of final exams. For those notified of nonrenewal before the start of the final year
of appointment, the final year fulfills the requirement of two terms of notice.

The faculty member may appeal the decision not to conduct a tenure review, unless the
decision denied a request for early review, which is not subject to appeal. The “Procedures for
Appealing a Decision Not To Conduct a Tenure Review at the End of the Ordinary Tenure
Probation Period on the Basis of Factors Other Than the Candidate’s Merits” may be found as an appendix in the Faculty Handbook or on the University Faculty website http://theuniversityfaculty.cornell.edu/policies/pol_main.html. The Procedures were adopted and amended by University Faculty governance and approved by the Board of Trustees. They provide that the professor shall be informed of the appeals rights and the Procedures. The Procedures prescribe specific timeframes and protocols for notifications, incumbent on both the candidate and the chair, and the authority of the Dean of the University Faculty in extending deadlines. They also interpret the process for schools not organized on a formal departmental basis.

When a departmental decision is reached not to undertake the tenure at the end of the probationary period, the department must notify the dean who in turn notifies the provost.

If the position is to be terminated for financial reasons, this decision should be made before the tenure review is begun. Therefore, permission to proceed with the review must be obtained from the dean. This permission also allows the dean to decide if a review should be undertaken before the completion of the probationary period.

If the dean makes the preliminary decision not to initiate a tenure review at the end of the probationary period for reasons other than the candidate’s merits, the dean shall inform the candidate and the department in writing of the reasons for that decision. Per the aforementioned Procedures, for a two-week period following receipt of the dean’s statement the candidate and/or the department shall have the opportunity to respond to the dean, prior to the dean’s final decision.

If a dean or a department makes a final decision not to initiate a tenure review at the end of the probationary period for reasons other than the candidate’s merits, the candidate may appeal that decision at the University level under the aforementioned Procedures. The decision of the provost shall not be subject to further appeal.

Candidate’s Appointment Options Before and After the Tenure Review is Initiated

If the candidate chooses not to stand for review for tenure, the candidate may serve out the remainder of the existing appointment and apply for other academic appointments at Cornell, or the department may change the individual’s assigned responsibilities and appoint to a non-professorial title; but the department and college are under no obligation to do so.

Trustee legislation establishing the senior lecturer title in January 1974 provided that “Persons holding professorial appointments may not be transferred to Senior Lecturer or Lecturer positions as a means of maintaining the employment of persons who have not qualified for retention via tenure appointment in accordance with criteria and procedures governing such appointments.” Provost’s policy extends that prohibition to all academic titles. It pertains after the tenure review has begun. There are no provisions for exception.
After a significant number of years, the question may arise whether an individual who has been denied tenure in one college may be appointed to an academic title in another academic unit. At the December 19, 1978, meeting of the Dean’s Council it was agreed that it is not generally good practice for one college to appoint a faculty member to a professorial rank who was not awarded tenure in another college. If such an appointment appears appropriate, it should not be made without prior consultation between the respective deans and department chairs.

**Departmental Procedures: The Tenure Review**

The detailed procedures followed at this level are variable and are not fully prescribed in university policy. Except for those procedures mandated by the college or school or by the Provost’s Office, the department may conduct this review as it deems appropriate. Local procedures should be known to department or school members, and the department chair or school deans should apprise new faculty members of them.

When a review for promotion to tenure is conducted, it is required to be thorough and well-documented, since the decision that is made is of far-reaching importance both to the individual and to the university.

The first step in the process is a review of the candidate by the faculty of the department or school. For this purpose, and with the assistance of the candidate, a complete *curriculum vitae* and list of publications and such information as patents are assembled, together with copies of the most relevant of the publications. Typically the candidate is asked to submit statements of goals and achievements in research, teaching, advising and extension/service. Documentation of success in teaching is collected, in the form of course-evaluation questionnaires and letters from both selected and randomly chosen graduate and undergraduate students. Evidence of service to the community, the department, the college, and the university is compiled. Letters are solicited from colleagues in the university and from outside experts to provide an evaluation of the quality of the candidate’s work and its impact on the scholarship of the field.

A department has considerable latitude in the procedures it can follow. For example, a department may want to involve faculty from related areas, nontenured faculty, or students in the decision or obtain informal advice from them. Departments have the option of including in the decision tenured faculty who are off campus or otherwise unavailable. The tenured faculty has the right to select those who will be involved in the decision. Many departments appoint committees to gather the tenure material, to obtain external reviews and to read and evaluate the publications of the candidates on behalf of the faculty. In such cases all the faculty may not review all the information in detail.

The aim of the review is to assess the achievements of the individual during the probationary period, as well as the promise shown for growth and further achievement. The detailed procedures by which the department conducts its assessment vary, but they must include the basic elements mentioned above as well as (1) making the documentation gathered during the review available to the tenured faculty members of the department, (2) holding a meeting of the
tenured faculty members for the announced purpose of discussing and voting on the promotion in question, and (3) taking the vote.

There is no general prescription for interpreting the vote; some departments do not consider such a vote positive unless the margin of positive over negative votes is quite large. A majority vote for promotion does not bind the faculty to forward a positive recommendation to the chair; the faculty has the right to decide whether the vote is of sufficient margin to make a recommendation. When fewer than four tenured faculty are voting, the chairperson should consult with the dean on the possibility of expanding the number of those voting.

The decision of the faculty is reviewed by the department chair, who has the responsibility of making a recommendation to the dean. The department chair is not bound by the vote or recommendation of the faculty, although he or she must report it to the dean. The chair represents the department in making and explaining to the dean the department’s recommendation for or against tenure. The chair may forward the material to the dean without a recommendation. A department or a chair should not forward a recommendation to the dean that it hopes will be reversed.

If, after a tenure review is carried out, the department’s tentative tenure decision is negative, it is communicated to the candidate before being given to the dean, and the candidate has an opportunity to request a reconsideration by the department. The procedures for this may be found as an appendix in the Faculty Handbook or on the University Faculty website http://theuniversityfaculty.cornell.edu/policies/pol_main.html. The Procedures were adopted and amended by University Faculty governance and approved by the Board of Trustees. They provide that “any faculty member has a right to receive a timely reconsideration of a negative departmental tenure decision before that decision is forwarded to the dean” and that the professor shall be informed of the appeals rights and the Procedures. The Procedures prescribe specific timeframes and protocols for notifications, incumbent on both the candidate and the chair, and the authority of the Dean of the University Faculty in extending deadlines. They also interpret the process for schools not organized on a formal departmental basis. If the department’s final decision is negative, the chair formally informs the dean of the decision and the reasons for it and transmits the documentation to the dean for review. If the chair’s recommendation is different from the decision of the department, the reasons for the chair’s recommendation should be explained in detail in the letter to the dean. Abiding by the requirements of the Procedures, the dean reviews the decision of the department.

If the department’s recommendation is positive, the chair forwards the following documentation to the dean (with appropriate differences to reflect extension, performance, artistic or design responsibilities):

1. A letter from the department chair to the dean.

This letter should fully assess the evidence and the testimony, give the results of the vote of the tenured faculty, comment on the candidate’s strengths and weaknesses in the areas of responsibility considered in the evaluation, and state the importance of each factor in reaching the decision. The final decision depends on the mission of the department, as seen by the faculty
and the dean, and on the current situation in the department. This letter might comment on any aspects of the candidate’s publications that were important in the departmental decision but that might not be known to those who are to further evaluate the candidate. In those areas where it is appropriate, information on patents, translation of research, and the volume of external funding the candidate has attracted may be included in the letter. Although the financial information does not itself have any bearing on the decision, it may add insight into the candidate’s research ability when research proposals have been evaluated by peer groups. In the case of a positive recommendation, if external funding has not been obtained in an area where it normally is expected, an explanation should be given.

2. The scholarly or public service publications of the candidate.

These should include the material in press, along with an evaluation of the quality and importance of the publications. (Some departments give the candidate an opportunity to select publications to be emphasized in the evaluation.) Distinctions should be made in the bibliography between publications in refereed journals, agency reports, and internal documents. The candidate should supply the bibliography to be used in the evaluation. The fact that new material becomes available after the review has begun is not sufficient reason to repeat the process. The documentation should have a separate listing of the scholarly works that were included in the tenure material. This provision is made to avoid any future uncertainty of what scholarly material was evaluated.

3. If teaching was one of the responsibilities of the candidate, an evaluation of performance in this role should be supplied, either in the letter to the dean, or in a separate document, supported by course teaching evaluations with analyses of scores and trends, and letters from students and advisees.

4. If the candidate is a member of the Graduate Faculty, information on the direction of graduate students. This information should include the number of students for whom the candidate has served as the chairperson or a minor member of the Special Committee, and the number of students who have received degrees under the individual’s direction. This information should be supplied by the candidate.

5. If college or university service is to be considered in the evaluation, pertinent information obtained from the candidate.

6. Letters evaluating the candidate’s performance and promise. A copy of the letter which solicited the external information should be included. When external letters are sought, the department should give such referees a charge that is as specific as possible. Complete letters, not excerpts, should be transmitted. The letters should be from established scholars outside Cornell in areas related to that of the candidate. In some departments the candidate may suggest some of the external reviewers from which the department may make a selection. At least five letters should be from peers outside Cornell who have not been closely associated with the candidate and who have not been selected by the individual under consideration. If it is not appropriate to obtain such letters, the reason should be given. A separate sheet should be provided listing the names of those from whom letters of evaluation were requested, noting those
suggested by the candidate and those who did not submit evaluations. The qualifications of the referees should be summarized or documented.

When an external source is asked to review a candidate’s scholarly publications, the reviewer should be supplied, as a matter of courtesy, with as much of the material to be evaluated as is conveniently possible. External reviewers are not necessarily expected to present a detailed critique of the candidate’s work although they may do so. Their role is to evaluate the candidate’s accomplishments and stature in the field. In special situations, if the dean wants a detailed critique that would require a significant commitment of time, arrangements might be made to compensate the external reviewer.

If information on the candidate was obtained orally or if further information was sought from those who had previously submitted letters, the substance of this information should be included and the source noted.

Letters from individuals closely affiliated with the candidate will not be considered sufficient evidence of scholarly attainment. Letters which are not solicited by the department or those involved in the review may be given little weight in the decision.

Some departments include in the documentation the letters of evaluation that were solicited when the candidate was appointed or reappointed as an assistant professor, but letters that are years old are not considered an assessment of the present scholarly status of the candidate, and the confidential process for tenure referees likely will yield letters of different value from those supporting an applicant for appointment.

7. A recent *curriculum vitae* supplied by the candidate and any statements of goals and achievements in research, teaching, advising and extension/service.

8. A copy of letters pertinent to the communication of expectations to the candidate, such as those of appointment, reappointment, or performance evaluation.

9. Any other information that had a bearing on the decision of the department.

10. Ballots or supporting letters from the department faculty, if part of the process.

**College-Level Procedures upon Receipt of Departmental Tenure Recommendation**

After the department’s initial review and any reconsideration are completed, the decision is reviewed at the college level by the dean. If the department’s recommendation is positive, the dean must appoint an *ad hoc* committee of faculty members outside the department to study the evidence and advise him or her in reaching a decision. Even if the department’s recommendation is negative, the candidate still may request that the dean appoint the *ad hoc* committee. Either the dean or the *ad hoc* committee may seek additional information from the college, from the university, or from external individuals; this information is added to the documentation. The dean is not bound by the recommendation of the faculty or the chairperson
or the advice of the *ad hoc* committee, but the committee report must be forwarded with the other material if the dean’s decision is positive.

**College-Level Procedures: Deans’ Ad Hoc Committees**

When a positive recommendation for a tenure promotion is received from the chairperson of a department, the dean must appoint an *ad hoc* committee to serve as an advisory body in the deliberations. When the recommendation is negative, the dean also may consult an *ad hoc* committee, or the candidate may request that the dean appoint the *ad hoc* committee – the dean should follow procedures and timetables in the Faculty Handbook “Procedures for Appealing a Negative Tenure Decision.”

In recruiting faculty members from outside the university for tenure appointments, it is sometimes important to act quickly. In such cases, rarely the dean may forgo the normal *ad hoc* committee process and seek advice from outside the department by whatever mechanism is deemed appropriate.

In smaller colleges of the university which do not have a normal departmental structure the dean may want to have the *ad hoc* committee report before the tenured faculty considers the promotion and make the report available to the faculty in their deliberations.

The *ad hoc* committee must consist of no fewer than three members, either from inside or outside the University. Where feasible, the inclusion of external scholars is recommended. Members of the department from which the recommendation for tenure originated are not eligible to serve. If possible, at least one member of the committee should be selected from outside the college of the candidate.

The charge to the committee should be outlined broadly by the dean. In making their decision, the members of the committee should take into account any criteria for promotion promulgated by the college or department or provided to the candidate in the letters of appointment and reappointment. In accordance with university policy, no consideration or discussion can be given to protected-class status, such as gender (including pregnancy), marital status, race, ethnic or national origin, religion, creed, actual or perceived disability, or age (although the length of time since the degree is a legitimate factor in considering the amount of work that has been accomplished), sexual orientation, gender expression and identity, and veteran status.

In its evaluation the committee uses the material supplied by the department and the dean. If it believes that adequate information has not been supplied, it may request additional information from internal or external sources. The committee members evaluate the evidence and the candidate’s scholarly work to the degree they are qualified to do so. Expert opinion from scholars in the field outside Cornell also may be sought. The committee should focus on the excellence of the candidate’s scholarship, teaching, and service and the potential for future contribution to the department.
To eliminate any confusion about the basis for its decision, the committee should concern itself only with the qualifications of the candidate, not with other factors, such as department staffing patterns, tenure ratios, or the future of a particular subdiscipline. If advice on these matters is required, the dean should seek it by another procedure or by giving a separate charge to the committee, requiring a separate report.

The *ad hoc* committee should submit a written report to the dean within six weeks of receiving the assignment. If more time is necessary, the committee should formally request an extension. The department chairperson and the candidate should be informed of any delays.

To promote open consideration of the candidate within the *ad hoc* committee, its report is confidential, and anonymity of the membership is essential. Under no circumstance should the candidate have access to the report, even if the names of the committee are deleted. To preserve anonymity, the committee may make requests for additional information from the department through the dean.

The report is a college document and will be returned to the dean after the final decision has been made.

**College-Level Procedures: Potential Denial of Tenure**

If the dean reaches a preliminary decision to deny tenure to a non-tenured faculty member whose promotion to tenure has been recommended by his or her department, the dean within three weeks of that decision furnishes the candidate and the department with a preliminary written statement of the reasons for that decision and the nature of the evidence within the limits set by the need to preserve confidentiality. For a two-week period following receipt of the dean’s statement, the candidate and/or the department has the opportunity to respond to the dean. If, following this response, the dean is not persuaded to change the decision to deny tenure, the dean forwards the file, together with an explanation for the decision, to the provost. If the provost does not have any concern or reservation about the dean’s proposed decision, she or he informs the college dean, and the decision becomes final and subject to appeal. If the provost does have a concern or reservation, she or he forwards the file to FACTA, the University Faculty Advisory Committee on Tenure Appointments, for consideration at a meeting of the full committee, following the procedures used by the committee in cases following positive recommendations by the dean. After receiving FACTA’s recommendation, the provost consults with the dean. Until the dean has received a response from the provost, the dean’s decision remains provisional. The University Level Appeal Procedure of the “Procedures for Appealing a Negative Tenure Decision” [http://theuniversityfaculty.cornell.edu/policies/pol_main.html](http://theuniversityfaculty.cornell.edu/policies/pol_main.html) does not commence until the dean’s decision is final, and is not supplanted in any way by FACTA consideration.

The procedures adhere to the requirement of two independent decisions in a tenure recommendation. If an individual or a group involved in a negative decision also are part of the subsequent decision, the policy of two negative decisions would not be fulfilled. For example, if the recommendation of a department faculty is negative, a negative recommendation of the
department chairperson does not fulfill the requirement if, as is usual, the chairperson was involved in the faculty decision. If the first negative decision is at the provost’s level, a second negative decision is not required.

The Provost’s Office must be notified informationally of all negative tenure decisions that are final at the college level. This notification should include the rationale submitted to the dean by the department and the results of the dean’s review.

College-Level Procedures: Dean’s Positive Recommendation for Tenure

If the recommendation of the dean is positive, the dean notifies the department and forwards a justification of the decision, with all the other specified material, to the provost. The material is submitted via the Academic Personnel Policy Office according to a schedule issued each summer by that office http://www.ohr.cornell.edu/contacthr/academicpersonnel/ that anticipates a Board of Trustees’ meeting prior to expiration of the candidate’s probationary appointment.

The following should be supplied:

1. The report of the ad hoc committee.
2. A letter from the dean assessing the recommendation of the chairperson and evaluating the evidence submitted and the appropriateness of the recommendation for the department.
3. If the dean does not follow the recommendation of the ad hoc committee, a statement of the reasons.
4. Any additional information obtained by the ad hoc committee or the dean. This information should be aggregated rather than distributed to relevant sections of the dossier, so that the information available at each level of review may be identified.
5. The materials provided by the department, except that large quantities of original end-of-semester course evaluations and publications should be retained by the college to be provided only upon the specific request of FACTA or the provost.

University-Level Review of Deans’ Positive Tenure Recommendations

The Faculty Advisory Committee on Tenure Appointments (FACTA) advises the provost on all proposed promotions to and appointments with tenure, except that the provost may waive FACTA review for candidates who have held tenure previously, either at Cornell or elsewhere.

If the dean’s tenure recommendation is positive, it is reviewed by FACTA. FACTA’s guidelines for dossier materials are available online at http://theuniversityfaculty.cornell.edu/handbook/DossierGuidelines.pdf. The review is conducted according to the committee’s own procedures. Those procedures are available from the Dean of Faculty, but historically may be summarized as follows: Four members of the
committee are chosen at random to reach each file. If all four members are positive with no concerns or reservations, a positive recommendation is forwarded to the provost. If any one of the four has reservations, each member of the full committee reviews the file. The committee’s decision is sent to the provost within four to six weeks of receiving the file.

FACTA’s recommendation is advisory to the provost. The provost’s decision leads either to forwarding a positive recommendation to the Board or to consultation with the dean pending clarification or denial.

Positive tenure recommendations ultimately are presented under presidential authority by the provost to the Board of Trustees for consideration according to Trustee procedures. The Trustees’ vote is by secret ballot and the Board action is transmitted to the dean by the Academic Personnel Policy Office. The dean in turn notifies the faculty member of the decision.

The final decision regarding tenure is made by the Trustees. The decisions of the provost and of the Trustees are not subject to appeal.

**EXTERNAL APPOINTMENTS TO TENURE**

In all cases of new appointments to the faculty that involve tenure considerations, faculty legislation recommends a procedure of evaluation (please consult this policy’s section on Academic Appointment for “Faculty Legislation on Selection of New Professorial Faculty Members”). Less documentation for the dossier may be available for appointments at the tenure level than for promotions to tenure.

Appointments at the tenure level offered to those outside Cornell usually are based on evidence of high scholarly reputation, productivity, and potential. Since the pool of candidates is national or international, this evidence should be overwhelming. If any weaknesses are evident in the candidate’s research or scholarship, the department must explain why this candidate was chosen.

Frequently there is little information available on the teaching ability of the candidate except what is obtained from the previous institution or inferred from the presentation of seminars. Under such circumstances great weight will be placed on the letter from the department chairperson or director to the dean. An individual whose credentials do not indicate teaching experience suitable for Cornell students should be given a probationary tenure (tenure-track) appointment to allow pedagogical development, mentoring and evaluation.

Since it is necessary to obtain approval from the dean and the provost before making an offer involving tenure, unusual procedures may be necessary if timing is critical. Rarely the dean may forgo the normal ad hoc committee process and seek advice from outside the department by whatever mechanism is deemed appropriate. In the letter to the provost the dean should note the urgency involved in the recommendation so that consideration of the appointment can be expedited.
No commitment to tenure can be made without the approval of the Board of Trustees. However, if prior approval is obtained from the provost, the individual can be informed that positive recommendation will be made to the Board on a specified date. If the necessary approvals have been obtained and the appointment is to begin before the Board meets, an interim tenure-track appointment is necessary.

**THE TIMING OF DEANS’ RECOMMENDATIONS FOR TENURE**

Any action granting tenure requires approval by the provost and confirmation by the Board of Trustees at any of the Board’s four meetings (October, January, March, May).

For candidates who have not previously held tenure, university-level procedure includes review by a University Faculty Committee, FACTA.

Providing time for FACTA review and provost’s consideration requires that materials be forwarded by the dean’s office by the dates issued each summer by the Academic Personnel Policy Office, available at [http://www.ohr.cornell.edu/contacthr/academicpersonnel/doss_Schedule_APPO.pdf](http://www.ohr.cornell.edu/contacthr/academicpersonnel/doss_Schedule_APPO.pdf).

For candidates who have held tenure previously, at another institution or at Cornell, the provost determines whether to seek the advice of FACTA. Because the provost could seek FACTA advice, dossier submission should adhere to the issued schedule. For senior recruitments with prior tenure for whom finalized Cornell tenure is important, a dean may feel certain that FACTA review will be waived and the provost’s tenure decision positive; even so, late submission of the tenure dossier still must anticipate time for the provost’s decision and for the printing of the Trustees’ tenure items, which occurs several weeks before the Board meets.

**DISPOSITION OF DOCUMENTATION FOR PROMOTIONS TO TENURE**

Letters of evaluation and the report of the *ad hoc* committee, considered confidential documents, will not be filed in the individual’s personnel file.

When final action, whether positive or negative, is taken on tenure recommendation, the Provost’s Office returns all materials to the dean. The materials will reside in the college offices for a period specified in the University Policy on Retention of University Records [http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol4_7.pdf](http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol4_7.pdf); it is essential that such documents be retained as specified in the policy in case of subsequent grievance or court action.

Any information considered confidential by Cornell will be surrendered to the courts or to government agencies only after appropriate legal action.
Promotions of Tenured Associate Professors to Professors

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

If a department chair is an associate professor and is subject to a review, it is the responsibility of the dean to conduct these discussions or to assign the responsibility to a senior member of the department.

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

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

The departmental procedures applicable to the promotion to professor are the same as those outlined above for the award of tenure, except that it is the vote of the full professors (tenured, if the candidate is tenured) in the department which is taken and recorded. The documentation need not be as extensive as it is for promotion to tenure, and the setting up of an ad hoc committee is at the dean’s discretion unless the recommendation of the department is negative and the candidate requests such a committee. If research is one of the candidate’s responsibilities, the dean may want to seek the advice of an ad hoc committee, since external opinions should be sought on such a candidate’s accomplishments and promise.

The dean is not bound by the recommendation of the department as expressed by the chair. If the dean disagrees with the judgment of the department, he or she will – if this has not already been done – set up an ad hoc committee. If the dean reverses the department decision, he or she will forward all the materials, including the ad hoc committee’s report, to the provost for review.
Promotions from associate professor with tenure to professor are made on the authority of the provost and do not undergo Trustee action. Promotions may be effective on November 1, January 1, April 1 or July 1. Each summer the Academic Personnel Policy Office issues a schedule for the coming year’s central reviews of deans’ promotion recommendations. http://www.ohr.cornell.edu/contacthr/academicpersonnel/doss_Schedule_APPO.pdf.

Procedures for appealing a negative decision on promotion to professor may be found as an appendix in the Faculty Handbook or on the University Faculty website http://theuniversityfaculty.cornell.edu/policies/pol_main.html.
THE OMBUDSMAN, GRIEVANCES, SANCTIONS

CORNELL UNIVERSITY GUIDELINES FOR THE OFFICE OF UNIVERSITY OMBUDSMAN

Note: The original sources for these Guidelines are the Kahn memorandum of August 26, 1969 used to constitute the office, the Cornell University Senate Guidelines (SA 70), adopted April 22, 1971, and the Charter of the University Assembly dated January 8, 1981. Copies of the original documents are available from the Office of the University Ombudsman.

“1. There shall be an Ombudsman for the Cornell University community, whose office shall be independent of all existing administrative structures of the University and the office shall have the following functions:

“a. To investigate, at the request of members of the community, or upon its own motion, any grievances that may arise against the University or against anyone in the University exercising authority;

“b. To bring its findings and recommendations to the attention of those in authority by the most expeditious means possible, and to the community at large to the extent this seems appropriate to the office;

“c. To serve as a general information center about all situations and University procedures concerning which grievances may arise – specifically, to advise members of the community about where to turn and what procedures to follow in order to pursue whatever business or complaint they may have;

“d. To direct, during emergencies or at the request of the President, such additional, and special information and ‘rumor clinic’ services as the Ombudsman believes appropriate and within the resources and competence of the office.

“2. It shall be the special concern of the Ombudsman to:

“a. Make decisions affecting members of the community with reasonable promptness and press others to do the same;

“b. Be satisfied that all members of the community receive ‘due process.’ The Ombudsman shall also be satisfied not only about the adequacy of procedures used to reach decisions, but that criteria and rules on which decisions of the type in question are based are, in fact, appropriate;

“c. Discover, and bring to the attention of those in authority and, if necessary, the entire community, any gaps and inadequacies in existing University procedures. The Ombudsman shall make recommendations and press through publicity, to the extent that it seems necessary, for the formulation of new procedures and the improvement of inadequate ones.
“d. Honor all reasonable requests for information pertinent to the functions and
purposes of the office and look actively for the answers to all such inquiries and
provide them to the inquiring parties and, where it seemed desirable, to the
community at large.

“3. The Ombudsman shall have access to such official files and information as s/he feels
is required to fulfill his/her functions. Any requests for information from the
Ombudsman must receive the highest priority from every member of the community.
The Ombudsman shall also have efficient means for communicating with the
University community whenever s/he sees fit.

“4. While the Ombudsman is authorized to function in the widest possible context and
with a minimum of constraints:

“a. The Ombudsman shall, of course, exercise no powers that are beyond the legal
authority of the University, although s/he may make recommendations concerning
the authority of the University or its constituent parts;

“b. The Ombudsman shall not make University policy or replace established
legislative or judicial procedures, although s/he may investigate any and all of
these, raise questions about them, and make such recommendations as s/he feels
proper for their improvement and efficient functioning;

“c. The Ombudsman shall use information from individual personal and personnel
records only when s/he has written permission from the affected parties for
releasing the information;

“d. While the Ombudsman has wide latitude in making public his/her findings and
recommendations, s/he must respect the requests of complainants that their
anonymity be preserved.

“5. Operations of the office:

“a. It shall keep suitable records of complaints, findings and recommendations. In
order to protect the anonymity of the complainants and the confidentiality of the
complaint, these shall be accessible only to members of the staff of the Office of
the Ombudsman. At the end of a particular Ombudsman’s term, that Ombudsman
shall decide which records shall remain for his/her successor, which shall be
committed to the University Archives, and which shall be destroyed. In addition,
that Ombudsman shall describe the conditions under which persons shall have
access to the various records stored in the Archives.

“b. While the Ombudsman may make exceptions at his/her discretion with respect to
matters of major importance, the office will normally function in terms of first
come, first served.
“c. The Ombudsman shall make an annual report to the University community and such special reports as s/he may deem useful from time to time. The Ombudsman shall respond to all legitimate requests for information on the work of the office from duly constituted bodies and officials of the University.

“6. The Ombudsman shall be appointed by the President with the concurrence of the University Assembly. Candidates for the office shall be identified by a Search Committee which must include at least one faculty member, one student and one employee appointed by the University Assembly, to join with four persons appointed by the President. The Ombudsman shall be appointed for a term of two years and, upon the recommendation of the President with the concurrence of the University Assembly, this appointment may be extended for a maximum period of two years without the need for a search.

“7. The Office of the Ombudsman must be independent of all University authority. The Office is ultimately accountable for its operation to the community.

“8. The Office shall consist, at a minimum, of the Ombudsman and a full-time assistant, and whatever additional staff is deemed necessary. The Office budget will be subject to the normal University financial and audit procedures.

“9. Any change in, or amendment to, these articles may be initiated by any member of the community who shall make appeal for such change to the Ombudsman. The Ombudsman shall annually submit these, with recommendations, to the President and the University Assembly.”

GRIEVANCE PROCEDURES

Guidelines for Establishing College-Level Grievance Procedures

A “grievance” is regarded as “an injustice of harm arising from a specific situation involving an act or acts of alleged unfairness which the individual regards as just cause for protest on his or her own behalf (or individuals on their own behalf).” A “grievance” is distinguished from an “appeal,” which petitions for reconsideration of a decision, such as an adverse decision on reappointment, promotion or tenure.

The Board of Trustees issued the following guidelines governing the establishment of grievance procedures in the colleges. Copies of grievance procedures (and appeals procedures) of a particular college or the University Library may be obtained from their administrative offices and are available through the Office of the University Ombudsman http://ombudsman.cornell.edu/.

The following guidelines for college-level academic grievance procedures were adopted by the Faculty Council of Representatives on May 8, 1974 (Records, pp. 4287-94C), and modified by the Executive Committee of the Board of Trustees on March 13, 1975 (Records, pp.
Part I--OBJECTIVES

1. The objective of academic grievance procedures is to provide appropriate means whereby an individual holding an academic appointment at Cornell University who believes himself or herself to be aggrieved can obtain consideration and, possibly, redress of his or her grievance.

2. The objective of the Guidelines set forth below is to establish standards for the development and maintenance of specific grievance procedures within the different colleges of the University. Although specific procedures may vary from college to college in accordance with the particular circumstances of each, they should be consistent in their recognition of the interests and responsibilities of the individual, the college, and the University.

3. A system of accepted and understood academic grievance procedures is intended to serve as one of the means by which a community of self-governing academicians exercises its freedom and responsibility.

Part II--DEFINITIONS AND ASSUMPTIONS

1. Definition.* For the purpose of the following regulations and guidelines, a grievance is defined as an injustice of harm arising from a specific situation involving an act or acts of alleged unfairness which the individual regards as just cause for protest on his or her own behalf (or individuals on their own behalf).

*By action of the Executive Committee of the Board of Trustees on March 13, 1975, p. 8957, such grievance procedures are not applicable to complaints with respect to appointment, reappointment, promotion or any tenure decision.

2. Nature of Grievable Action. An academic grievance procedure can be applied to the substantive and/or procedural aspects of any grievance arising out of the academician’s execution of his or her designated responsibilities. Grievable actions might grow out of a number of separate or related aspects of those responsibilities, of which the following are illustrative but by no means limiting: (a) reward; (b) academic freedom; (c) work assignment; (d) working conditions; (e) discrimination by race,
creed, sex, or age; and (f) existence of, adequacy of, and adherence to equitable grievance procedures. The frequent interrelationships among these different aspects necessitate one set of academic grievance procedure guidelines and standards adaptable to all aspects rather than separate guidelines and standards for each.

3. **Right to Invoke a Formal Grievance Action.** The individual academician has the right as a condition of his or her appointment to seek through formal grievance procedures involving the judgment of his or her peers a redress of those decisions made and/or those actions taken at the departmental, college, and/or University level that he or she considers intolerable to the effective execution of his or her responsibilities.

4. **Limitation on Right to Invoke a Formal Grievance Action.** The right to invoke a formal grievance action does not extend to abnormal participation in or obstruction of the normal decision making processes. The desire to prevent or to anticipate or to register mere unhappiness over a particular decision or action, does not, in and of itself, justify invoking a grievance procedure. Only when direct negotiations between parties to a dispute have been exhausted and not led to a resolution of a dispute may the individual (or individuals) resort to invoking the academic grievance procedure of his or her college.

**Part III -- COVERAGE**

1. Academic grievance procedures are applicable to all employees of the University (except as noted below) who, because of the predominantly academic nature of their responsibilities, hold teaching, research and/or extension appointments; i.e., to those men and women holding appointments as Professor, Associate Professor, Assistant Professor, Visiting Professor (all ranks), Adjunct Professor (all ranks), Instructor, Senior Lecturer, Lecturer, Senior Research Associate, Research Associate, Senior Extension Associate, or Extension Associate.

2. Academic grievance procedures are not applicable to degree candidates having appointments as Teaching Assistant, Research Assistant, or Graduate Research Assistant.

3. An individual who, by his or her appointment, is covered by more than one University grievance procedures, may choose the procedure under which he or she wishes to protest a
particular grievance. An individual may not, however, invoke more than one grievance procedure for the same grievance.

Part IV -- MINIMUM STANDARDS FOR COLLEGE-LEVEL GRIEVANCE PROCEDURES

“1. Establishment of procedures:

“a. Establishment of grievance procedures applicable to the academicians of the college as defined in Part III.

“b. Publication and distribution of the provisions of the procedures to all individuals covered by them.

“2. Committee Organization and Structure:

“a. Designation by appointment or election of responsibility for handling grievances to either an existing committee or committees or especially created committee or committees.

“b. Adequate notice to all college academicians of such assignment and provisions concerning the assignment.

“c. Charge to the committee(s) regarding responsibilities, mandate, discretion, limitations, etc., for the handling of grievances under the established procedures.

“d. Adequate representation on the committee(s) of the various components of those with academic appointments by e.g., rank and/or discipline and/or department and/or nature of appointment.

“e. Exclusion from participation as a committee member any individual who is a directly affected party to the particular grievance at issue.

“3. Committee Responsibility: Understanding by the academicians of the college that the purpose of the committee handling grievances is to resolve them either by helping the parties reach a decision acceptable to both or by rendering a recommendation.
“4. Operation of Procedures:

“a. Arrangements which require attempts to settle individual grievances by direct negotiation between parties concerned before application of grievance procedures.

“b. Explicit procedures for (1) submitting a grievance in writing to a designated party; (2) referring to the appropriate committee; (3) establishing essential facts and unresolved issues; (4) arranging for adequate documentation; (5) establishing time schedule for handling particular grievances; and (6) communicating both recommendations and ultimate decisions.

“c. Right of the committee handling the grievance to decide (1) whether or not direct negotiation remedies have in fact been exhausted; and (2) whether or not facts warrant consideration on the substantive and/or procedural aspects of the issue, a detailed investigation, hearings, recommendations and decisions.

“d. Provisions assuring equitable and expeditious handling of individual grievances.

“e. Submission by the appropriate committee of written report to the dean of the college, setting forth findings and recommendations.

“f. Requirement of written notice from the dean to the principals of the grievance, the University Provost, and the Dean of the Faculty of his acceptance or rejection of the Committee’s recommendations with reasons therefor.

“5. Confidentiality:

“a. Provisions for maintaining strict confidence with regard to all matters relevant to individual grievances on a criterion of need-to-know.

“b. Provision for summary notice within the college of the case, the issue, and the resolution at the request of a party to the issue and with the concurrence of the committee.

“6. Review: Procedure for permitting one of the parties to a grievance of a decision made in accordance with college-level grievance procedure to ask for a University-level review of that
decision in accordance with the procedures of the Faculty Committee on Academic Freedom and Responsibility.

“Part V--EFFECT OF GRIEVANCE PROCEEDING

“Any grievance proceeding contemplated herein shall be advisory to the respective deans and the President and Trustees of the University. While a prior academic personnel action may be reversed, modified, or affected as a consequence of the proceeding, the proceeding itself shall not effect that change.

“Part VI--GRIEVANCE EXPENSES

“Any necessary expense of the hearing shall be borne by the University with the exception that if the individual wishes to retain a representative or counsel, he shall bear the expense of such representation. If the employee is represented by another individual of the University, the representative will be allowed reasonable time to perform his function without loss of pay.

“Part VII--IMPLEMENTATION

“1. The Dean of the Faculty shall publish and distribute, in such manner as he deems appropriate, copies of this legislation to academic personnel of the colleges as well as to deans and department heads.

“2. Consistent with the relevant procedures of the respective colleges, members of the faculty are urged to:

   “a. initiate establishment of college-level procedures in conformity with the foregoing standards and guidelines, if none exist.

   “b. initiate review of college-level procedures if they exist; and, if necessary, institute such modification as may be necessary to bring them into conformity with the foregoing standards and guidelines.

“3. The Committee on the Professional and Economic Status of the Faculty shall, as may be requested:

   “a. consult with and advise academic and administrative officers and members of the college faculties on the establishment and maintenance of college-level grievance procedures consistent with the foregoing standards and guidelines.
“b. certify as to the adequacy of college-level grievance procedures in terms of the foregoing standards and guidelines.”

End of Legislation

Grievances By and Against Graduate Students

The Grievance Procedure for Graduate Students Relating to Graduate Education and Support outlines general provisions and procedural steps for handling most grievances involving graduate students and faculty members, including issues such as academic integrity, remuneration, or joint publication.


Student-Academic Staff Grievance Procedure


According to the policy’s introduction:

“This procedure provides a means whereby any student registered at the university (excluding the Medical College) who has reason to believe himself or herself to be the victim of legally prohibited discrimination (see categories below) or of discrimination on the basis of sexual or affectional orientation by an academic staff member or assistant in the execution of his or her designated academic responsibilities, can seek redress of such grievance. This procedure encourages informal resolutions, but provides also for more formal steps to protect students from illegal discrimination by academic staff and assistants, while guarding against the possibility of injustice resulting from false and malicious charges. (Categories as of May 26, 1990 involve, but are not limited to, such factors as race, color, creed, religion, national or ethnic origin, sex, sexual orientation, age, or disability. The prohibition includes sexual harassment, as defined in the Sexual Harassment Policy available at http://www.policy.cornell.edu/vol6_4.cfm). …”
SANCTIONS:
PROCEDURES GOVERNING IMPPOSITION 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) to read as follows:

“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: non-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 dismissal 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-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.”
APPOINTMENT TERMINATION

NONRENEWAL OR EARLY TERMINATION OF TERM APPOINTMENTS

Reappointment is not a right and is not automatic. 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 on the Academic Policy web site at policies\academic\academicApptTermsSections\NesheimMemo.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, 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 http://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) or the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/.

Please also consult the title description for “Professor Emeritus or Emerita” in the Appendix to this policy.

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 2 of the policy “Leaves for Professors and Academic Staff” http://www.policy.cornell.edu/vol6_2_1.cfm 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 http://www.ohr.cornell.edu/contacthr/benefitservices/index.html 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) http://www.emeritus.cornell.edu/ regarding the availability of phased retirement.
APPENDIX

APPENDIX 1

APPROVED ACADEMIC TITLES

The academic titles covered in this section should not be used for appointments in administrative or other nonacademic units without specific authorization from the provost; persons appointed in nonacademic units to an academic title should hold a joint appointment in an academic unit. Even in academic units the research titles should be limited to those whose responsibilities are academic.

The authorized titles listed below are primary titles; secondary titles such as dean, director, and provost are not included. Additional titles are used in the Weill Cornell Medical College.

- The titles “professor,” “associate professor” and “assistant professor” may be modified by “adjunct,” “acting,” “courtesy” or “visiting.”
- The titles “instructor,” “senior lecturer,” and “lecturer” may be modified only with “courtesy” or “visiting.”
- The titles “senior scholar” and “senior scientist” may be modified only with “visiting.”
- Only one modifier may be used with a particular individual’s title.

professor
associate professor
assistant professor
university professor
professor emeritus or emerita
professor-at-large
clinical professor
associate clinical professor *
assistant clinical professor *
senior scholar
senior scientist
instructor
senior lecturer
lecturer
teaching associate
principal research scientist
research scientist
senior research associate
research associate

senior extension associate
extension associate
university librarian
associate university librarian
assistant university librarian
librarian
associate librarian
senior assistant librarian
assistant librarian
archivist
associate archivist
senior assistant archivist
assistant archivist
postdoctoral associate
postdoctoral fellow
visiting fellow
visiting critic
visiting scientist
visiting scholar

* [clinical title available in a college only by special procedure; please consult the title description in Appendix 2]
APPENDIX 2

ACADEMIC TITLE DESCRIPTIONS

Professor

Professors are responsible for teaching, undertaking research and publishing its results, advising undergraduate and graduate students, and providing public, departmental, college, and university service. Not all professors are assigned these duties in equal measure; the determination of academic responsibilities is made by the dean and the department chairperson or the director of the school, center, institute or program in consultation with the faculty member. But the responsibilities must include significant effort in research (or creative achievement, in the arts) and either teaching or extension/outreach.

The unmodified title “professor” reflects a salaried position that is subject to affirmative action regulations.

Professors generally hold the highest graduate degree in the field. In the creative and performing arts, or in certain professional studies, the dean may accept a degree other than the Ph.D. or its foreign equivalent as the highest degree.

The rank of professor is usually attained by promotion from associate professor after a positive evaluation of performance and promise. In such a case, the person ordinarily has already been awarded indefinite tenure as an associate professor, and approval of promotion in rank is approved by the provost, not the Trustees. A new appointment at the level of tenured professor is also possible with the approval of the Board of Trustees, following established procedures for tenure review. A new faculty member may be given a term appointment at this level for a fixed term of up to five years. The tenure clock at the rank of professor may be for up to five years. A terminal, non–tenure-track appointment of a professor is also possible, for a fixed term of up to five years, but in such a case the individual normally would be designated as a visiting professor.

Professors are voting members of the University and college faculties; as a member of the University Faculty and a voting member of the college faculty, a professor cannot be a candidate for a degree administered by Cornell, per the Bylaws of Cornell University, Articles on “The University Faculty” and “College and School Faculties” http://www.cornell.edu/trustees/cornell_bylaws.pdf. The Dean of the Graduate School confers membership on the Graduate Faculty following nomination by the field’s graduate faculty representative and approval by the General Committee.
CADET ACADEMIC TITLE DESCRIPTIONS

Associate Professor

Associate professors are responsible for teaching, undertaking research and publishing its results, advising undergraduate and graduate students, and providing public, departmental, college, and university service. Not all associate professors are assigned these duties in equal measure; the determination of academic responsibilities is made by the dean and the department chairperson or the director of the school, center, institute or program in consultation with the faculty member. But the responsibilities must include significant effort in research (or creative achievement, in the arts) and either teaching or extension/outreach.

The unmodified title “associate professor” reflects a salaried position that is subject to affirmative action regulations.

Associate professors generally hold the highest graduate degree in the field. In the creative and performing arts, or in certain professional studies, the dean may accept a degree other than the Ph.D. or its foreign equivalent as the highest degree.

Appointment as associate professor usually results from the promotion of an assistant professor with the award of tenure. In other cases the rank of associate professor with tenure is bestowed on a new faculty member with the approval of the Board of Trustees, following established procedures for tenure review. A new faculty member may be given a term appointment at this level for a fixed term of up to five years; in this case either the appointment is terminal, non-tenure-track or in probationary tenure status. The tenure clock at the rank of associate professor may be for up to five years.

In unusual cases, assistant professors are promoted to the rank of associate professor without being awarded tenure. Such actions at Cornell are normally limited to the professional schools, reflecting a practice that is more common in professional schools nationally. These promotions do not extend the probationary period for the tenure decision (and without provost’s approval may shorten the tenure clock to five years). They do not require approval by the Board of Trustees, but, other than in the professional schools, promotion for assistant or associate professors on the tenure track does require approval by the provost. Promotion near the time of tenure review usually is inappropriate.

Associate professors are voting members of the University and college faculties; as a member of the University Faculty and a voting member of the college faculty, an associate professor cannot be a candidate for a degree administered by Cornell, per the Bylaws of Cornell University, Articles on “The University Faculty” and “College and School Faculties” http://www.cornell.edu/trustees/cornell_bylaws.pdf. The Dean of the Graduate School confers membership on the Graduate Faculty following nomination by the field’s graduate faculty representative and approval by the General Committee.
ACADEMIC TITLE DESCRIPTIONS

Assistant Professor

Assistant professors are responsible for teaching, undertaking research and publishing its results, advising undergraduate and graduate students, and providing public, departmental, college, and university service. Not all assistant professors are assigned these duties in equal measure; the determination of academic responsibilities is made by the dean and the department chairperson or the director of the school, center, institute or program in consultation with the faculty member. But the responsibilities must include significant effort in research (or creative achievement, in the arts) and either teaching or extension/outreach.

The unmodified title “assistant professor” reflects a salaried position that is subject to affirmative action regulations.

Assistant professors generally hold the highest graduate degree in the field. In the creative and performing arts, or in certain professional studies, the dean may accept a degree other than the Ph.D. or its foreign equivalent as the highest degree. If the highest degree is not yet completed, the “instructor” or “acting assistant professor” title should be used.

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

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

According to faculty legislation excerpted in the “Tenure” section of this policy in “Candidate’s Appointment Options Before and After the Tenure Review is Initiated,” a tenure-track appointee who does not receive tenure may not be appointed to the position of lecturer or senior lecturer; provosts’ policy extends that prohibition to all academic titles. However, an individual may request a transfer to lectureship or other title status before the tenure review; neither the chair nor the dean is obliged to recommend this action to the provost.

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

Assistant professors are voting members of the University and college faculties; as a member of the University Faculty and a voting member of the college faculty, an assistant professor cannot be a candidate for a degree administered by Cornell, per the Bylaws of Cornell University, Articles on “The University Faculty” and “College and School Faculties” http://www.cornell.edu/trustees/cornell_bylaws.pdf. The Dean of the Graduate School confers membership on the Graduate Faculty following nomination by the field’s graduate faculty representative and approval by the General Committee.
ACADEMIC TITLE DESCRIPTIONS

University Professor

The title “university professor” was authorized by the Board of Trustees in April 1951, following a recommendation and University Faculty legislation suggesting the method of selection, responsibilities, faculty affiliations, and departmental or interdepartmental affiliations of persons to be so designated.

The title designates a tenured professor of extraordinary scholarly breadth, depth, and achievement to whom at least two departments have indicated a willingness to offer voting membership. The appointee chooses one department for primary affiliation and that department provides office space and support services; however, the university professor’s salary is determined by the president independent of departmental budget. The university professor is expected to teach and undertake research but is free to choose the structure that the teaching and scholarship will assume.

Faculty legislation, endorsed by the Board of Trustees, sets forth procedures for naming a university professor that requires the president to appoint a search committee. The search committee, chaired by the provost, recommends nominations to the president, who, in turn, recommends a candidate for the Board of Trustees’ final approval.

Inquiries concerning the use of this title and the consideration of individuals for appointment to this rank should be referred to the Office of the University Faculty.

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

The title “university professor” reflects a salaried position that is subject to affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Professor Emeritus or Emerita

In March 1991 the Board of Trustees adopted the following statement of qualification for the honorary title professor *emeritus*, replacing trustee legislation of June 11, 1951, and April 1970:

“Any member of the professorial staff who retires after ten years full-time equivalency in the rank of university professor, professor, or associate professor and who has rendered distinguished and meritorious service to the University, may be appointed Professor *Emeritus* by the President after recommendation by the members of the particular department and the dean of the college or school faculty to which the retiring member belonged.”

Use of the title is limited to those who have held tenure at Cornell.

Approval, under presidential authority, is by the provost. 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) [http://www.emeritus.cornell.edu/](http://www.emeritus.cornell.edu/) or the website of the Academic Personnel Policy Office [http://www.ohr.cornell.edu/contacthr/academicpersonnel/index.html](http://www.ohr.cornell.edu/contacthr/academicpersonnel/index.html). The phased retirement agreement would not be able to guarantee approval of *emeritus* or *emerita* status by the provost.

The department chair provides the dean with a letter summarizing the retiree’s career and the department’s vote and recommendation. The chair’s letter also should indicate whether the professor prefers the title to be *emeritus* or *emerita*. If the dean approves the recommendation, the dean so indicates when forwarding the departmental materials; the dean also should indicate whether the college authorizes use of an endowed chair title, if one has been held, in *emeritus* status, e.g., Jacob Gould Schurman Professor *Emeritus* – this will not continue to encumber funds attached to the chair title. The dean sends the materials to the provost via the Academic Personnel Policy Office. A letter from the president notifies and congratulates the professor. In most instances, *emeritus* status is effective the day following official retirement from the university.

Professor *emeritus* or *emerita* is a continuing appointment status, inactive until a “rehire” appointment (using the *emeritus* or *emerita* title) is approved, in paid or unpaid renewable positions for up to one year at a time.

Professors *emeriti* remain voting members of the University Faculty.
Authority for retired faculty members to supervise graduate study rests with the General Committee of the Graduate School and is reflected in the “Code of Legislation of the Graduate Faculty,” particularly the Graduate Faculty Administration section on “Term of Appointment.”
http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf

By vote of their graduate fields, *emeritus* professors will be granted the working designation “Graduate School Professor of (field).” This designation, which can be used on grant and contract applications, is described in the “Code of Legislation of the Graduate Faculty” in the Graduate Faculty Administration section on “Graduate School Professorship” at http://www.gradschool.cornell.edu/pubs_and_forms/pubs/codeoflegislation.pdf. Maximum terms are for five years, renewable. Records are maintained by the Graduate School and inquiries may be directed to the Office of the Dean of the Graduate School.

Administrative and executive service is possible within the title, as well as teaching, research and other academic responsibilities. Information on this and such aspects as office and laboratory space, reimbursement for professional activities, and voting rights may be found in section D “Emeritus Status” of the “Provost’s Policy Statement on the Transition of Faculty to *Emeritus* Status,” available on the website of the Academic Personnel Policy Office http://www.ohr.cornell.edu/contacthr/academicpersonnel/index.html. Appended to the document is a compendium of services and other items of interest for *emeriti*, prepared in 1997 by the Dean of Faculty Office.

In addition to such special teaching and administrative assignments, occasional post-retirement research appointments are also made to permit individual retired faculty members to carry on sponsored research using university facilities. Any salary paid to the faculty member in such a case must appear as an approved item in the agreement with the sponsor. Such post-retirement research appointments will be considered when the proposed program enhances the proper function of the department, the college and the university and when it represents the best use of office and laboratory space; the appointments are reviewed periodically and always when a new agreement with a sponsor is proposed.

The university’s policy on indemnification refers to *emeritus* professors among the “additional classes of individuals who are protected by this policy when acting on behalf of the university within the scope of their authorized duties.” Further information is available at http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol4_9.pdf.

A professor who does not seek or is not qualified or approved for *emeritus* status is considered a “retired academic.”

*Emeritus* status is not available for other academic titles. Persons holding professorial titles modified by “adjunct,” “courtesy,” or “visiting” cannot be granted *emeritus* status.
ACADEMIC TITLE DESCRIPTIONS

Professor-at-Large

The professor-at-large title is reserved for specially defined uses. The Andrew D. White Professor-at-Large Program is the modern version of a program originating with President Andrew D. White early in Cornell's history. It was re instituted in 1965 by the Board of Trustees and has the purpose of attracting to Cornell, as full-fledged voting members of the University Faculty while in residence, “those individuals who have achieved outstanding international distinction in the humanities, the natural or social sciences, or the learned professions, or have achieved such distinction and have demonstrated broad intellectual interests through their activity in such fields as public affairs, literature, or the creative arts.”

Professors-at-large are elected by the Board of Trustees upon the recommendation of the president for a six-year term. The procedures for selection and nomination by the president are controlled by legislation of the Faculty Senate. Current legislation specifies that the number of professors-at-large should not normally exceed eighteen and recommends that a substantial number of these be from foreign countries. The residence requirements are that each individual appointed as a professor-at-large agrees to spend a minimum of two consecutive weeks every three years in residence on the Ithaca campus. Each receives a stipend and other perquisites as may be agreed upon at the time of their election.

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

Clinical Professor, Associate Clinical Professor, Assistant Clinical Professor

The titles “clinical professor,” “associate clinical professor” and “assistant clinical professor” are available in a given college only upon satisfaction of a special approval process specified in the Enabling Legislation (please consult text below).

The ranks of the title of Clinical Professor are available only for long term, non-tenure-track faculty who serve an essential teaching function in a clinical setting. While faculty members of this rank may have additional research, service, or outreach obligations, teaching is their primary responsibility. The title may not be used for positions whose responsibilities largely replicate those of tenure-track faculty. Similarly, the title is not meant as a wholesale replacement for the titles of faculty employed as Lecturers or Senior Lecturers.

These titles reflect salaried positions that are subject to affirmative action regulations.

Clinical professors generally hold the highest degree in their field. They may be appointed for a term of not to exceed five years, renewable repeatedly. Decisions about appointment and promotion are made on the authority of the dean; approval by the provost or the Board of Trustees is not necessary. College or school legislation as approved in the process with the Faculty Senate authorizing the use of the title in that college or school governs various terms and conditions, including percent limitations on the number of such appointments, voting rights, and access to grievance and appeals procedures (consult the Faculty Senate enabling legislation, which follows). A voting member of the college faculty cannot be a candidate for a degree administered by Cornell, per the Bylaws of Cornell University, Article on “College and School Faculties” [http://www.cornell.edu/trustees/cornell_bylaws.pdf].

The Trustees’ Bylaws of the University, in the Article on the “College and School Faculties” provide that:

“… clinical professors, associate clinical professors, assistant clinical professors, … shall be nonvoting members, except as stated in the paragraph below, or unless given the right to vote by the particular faculty in circumstances defined by that faculty. …

“Clinical professors of all ranks, lecturers and senior lecturers shall participate fully in those decisions that are directly related to their roles within the college or school and within the department. The dean or director shall have the responsibility of identifying those issues that are related to their roles within the college or school, and the department chair shall have that responsibility within the department. Within the department, those appointed to clinical professorial titles shall participate fully in hiring decisions of others of their rank or in lower clinical professor ranks; senior lecturers shall participate fully in hiring decisions of other senior lecturers and lecturers, and lecturers shall participate fully in the hiring decisions of other lecturers. Notwithstanding the above, in units where the number of clinical professorial faculty, lecturers and senior lecturers is comparable to the number of professorial faculty, the Provost may determine the appropriate level of
participation by clinical professorial faculty, lecturers and senior lecturers in curricular decisions.”

Enabling Legislation Approved by the University Faculty Senate on September 4, 2002, for the Clinical Professor Title is as follows:

“I. Preamble

“The current range of available academic titles does not meet the needs of various Colleges at Cornell that stand to benefit considerably from the creation of a new, primarily single-function, non-tenure-track Clinical Professor title. These Colleges are currently experiencing difficulty both in recruiting and retaining faculty members who might bear such a title since, unlike many of their peer institutions, they have only the title of Lecturer or Senior Lecturer available. In addition, there are currently individuals in Lecturer positions who are, in effect, carrying out the functions of Clinical Professors without suitable acknowledgment of their status, qualifications, and activities or opportunity for career development.

• Whereas an inadequacy in the current range of available academic titles makes it desirable to create a new non-tenure-track Clinical Professorial Title, and

• Whereas it is clearly important to recognize and reward the status, qualifications, and activities of those faculty members for whom such a title would be appropriate, and

• Whereas units need to improve recruitment and retention of such faculty-members, and

• Whereas, where appropriate and possible, units should be able to reclassify competitive candidates who are currently doing such work de facto, while employed as Lecturers or Senior Lecturers,

Be it resolved that this enabling legislation be adopted.

“II. Purpose of Enabling Legislation

“The purpose of this legislation is to enable individual colleges and schools, in accordance with the process and requirements described below, to use the title of Clinical Professor in reference to a limited and defined group of long-term, non-tenure-track appointments. This title will be available for use at the Assistant, Associate and Full Clinical Professor rank.

“III. Limited Availability of Clinical Professor Title.

“The title of Clinical Professor is available only for long term, non-tenure-track faculty who serve an essential teaching function in a clinical setting. While faculty of this rank may, depending on specific requirements of the college or school, have additional research, service, or outreach obligations, teaching will be their primary responsibility.
The title may not be used for positions whose responsibilities largely replicate those of tenure-track faculty. Similarly, the title is not meant as a wholesale replacement for the titles of faculty now employed as Lecturers or Senior Lecturers.

“IV. Proposal Process

“A college that wishes to use the title of Clinical Professor must take the following steps:

“A. Sponsors must prepare a written proposal for use of the title in accordance with the requirements of sections V and VI, below.

“B. The proposal must be approved by at least two-thirds of those voting, by ballot, in separate votes, of tenure-track and of non-tenure-track faculty respectively of the originating college or school (as defined under Article XIII of the University Bylaws). Further, those voting positively must represent at least half of the respective faculty group with voting rights on that issue.

“C. A proposal so approved will come before the University Committee on Academic Policies and Procedures (CAPP) for review of its conformity to the requirements of section V and VI, below. After submission to CAPP, such a proposal will be distributed to University faculty and distributed to or electronically posted for other interested parties for a period of 60 days before action by CAPP in order to invite public comment.

“D. At the end of the comment period, CAPP shall review the proposal in order to determine whether it complies with the requirements of this enabling legislation. In conducting such a review, the committee is not to substitute its judgment for that of the originating college or school as to the need for or wisdom of the college’s or school’s adoption of the Clinical Professor title.

“E. If CAPP determines that the proposal meets the requirements of this enabling legislation, it will report the proposal to the Senate, which will approve or deny the proposal by a majority vote based on the Senate’s determination of whether the proposal complies with the requirements of this legislation. If CAPP determines that the proposal fails to meet the requirements of this legislation, it shall furnish a written explanation of this determination to the college or school submitting the proposal.

“V. Proposal Contents

“The written proposal of a college or school that seeks to use the title of Clinical Professor must include the following provisions.

“A. Justification. A proposal for adoption of the Clinical Professor title shall include a statement offering justification for adoption of the title within the originating college or school and explaining why existing titles for non-tenure-track faculty are insufficient for staffing and recruitment. The practices of peer schools and the impact of available titles on recruitment efforts may be of particular relevance in this regard.
“B. Description of Position. The proposal shall describe as precisely as possible the functions and responsibilities of positions bearing the title and the anticipated distribution of such positions within the college or school.

“C. Terms of Appointment. The proposal shall include a summary of the terms on which candidates will be appointed and reappointed to such positions and promoted from one to another. These terms should include: the nature of the search by which applications will be elicited; the credentials required by holders of these positions; the levels (department, college, university) at which approval for individual appointments is necessary; the length of appointments; the possibilities open to appointees for movement between non-tenure-track and tenure-track paths; and procedures for renewal and promotion open to appointees.

“D. Percentage Limitation. The proposal shall include a statement restricting the creation of positions in the proposed titles to a certain percentage of the tenure-track faculty of the originating college and of the tenure-track faculty in those departments or programs where those positions are located.

“E. Voting and Other Rights. The proposal shall define the rights and responsibilities of appointees in the proposed titles, including their voting status in their departments and colleges or schools, and their access to grievance and appeals processes available to tenure-track faculty.

“F. Impact Statement. The proposal shall contain an appraisal of the impact of creating the new positions on existing tenure-track and non-tenure-track academic titles and their holders. This appraisal should indicate whether and in what ways current holders of non-tenure-track titles will be eligible for appointment to the new positions and whether their current positions will be protected against elimination by the new positions.

“VI. Additional Restrictions on the Use of the Clinical Professor Title.

“In addition to satisfying the provisions of section V, all proposals for the use of such titles must satisfy the following requirements:

“A. The functions of positions bearing Clinical Professorial titles may not replicate the full array of functions (e.g. teaching and research and service or outreach) served by tenure-track positions in the originating college or school. Proposals must indicate how the functions of positions as defined will differ from regular tenure-track positions.

“B. Terms of positions bearing these titles shall normally be for three to five years and shall not exceed five years. Unless otherwise specified, they shall be renewable indefinitely. Holders of these titles whose appointments are not renewed must receive a full year's appointment from date of notice of non-renewal.
“C. Procedures for review, renewal and promotion of holders of these titles shall be comparable in rigor to those in tenure-bearing positions. Appointment of faculty of this rank shall normally be the result of a national search.

“D. The percentage of positions bearing the titles may not exceed 25% of the existing tenure-track faculty positions in the college or 25% of the tenure-track positions in those departments or programs where those positions are located, except as herein provided. A higher percentage may be afforded if, but only if, the relevant college, department, or program makes an overpowering showing that: (1) there is a need for the higher percentage; (2) the Clinical Professor positions in question would not replicate the functions of positions ordinarily held by tenured or tenure-track faculty; and (3) any additional Clinical Professor positions in a department or program would not detract in any way from the potential for adding tenured or tenure-track positions in that department or program.

“E. Except by appointment of the holder to a new position bearing one of these titles or by resignation of the holder, no non-tenure-track faculty position may be eliminated solely as a result of creating such a new position for a function comparable to that filled by the old position.”

End of Legislation
ACADEMIC TITLE DESCRIPTIONS

Senior Scientist and Senior Scholar

These nonprofessorial titles designate positions to which individuals of high distinction in research and scholarship may be appointed. The positions carry the professional stature of full professor and salary commensurate with this rank, but not indefinite tenure. Appointments require dossier review equivalent of that for promotion of associate professor to professor and approval by the provost. This review must include professional evaluations from individuals external to the unit and external to Cornell and committee advice to the dean. These provisions underscore the high-profile stature of these titles.

Senior scholars and senior scientists may be involved with the teaching program to an extent consistent with terms of the funding of their positions, but their primary role is research and scholarship. Senior scholars and senior scientists may serve as principal investigators for sponsored research grants.

The Faculty Council of Representatives’ Executive Committee in March 1987 determined that the senior scholar and senior scientist titles must stand alone; appointees may hold joint appointments in other departments, but they cannot simultaneously hold modified professorial titles. Although senior research associates at Cornell are not ineligible for consideration, these titles are not part of the research associate/senior research associate promotion sequence.

Appointments may be made for periods of up to five years and are renewable. Reappointments require approval by the provost, upon recommendation by the department chair and the dean.

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

These titles reflect salaried positions that are subject to affirmative action regulations.
**ACADEMIC TITLE DESCRIPTIONS**

**Principal Research Scientist and Research Scientist**

Research scientists and principal research scientists are expected to initiate or lead research programs and to create new knowledge at a high level of achievement in an academic area of importance to the department or academic research unit. The differences between these titles relate to the balance in the individual’s career between promise and achievement in establishing highly successful independent research programs.

Research scientists and principal research scientists are responsible for initiating new research activities; creating and managing research laboratories; seeking funding opportunities, submitting proposals, and fulfilling the terms of research grants and contracts; planning, conducting and reporting on original research; and representing their research groups externally. Persons appointed to these titles may serve routinely as principal investigators on grants and contracts [http://www.research.cornell.edu/VPR/Policies/PI-policy.html](http://www.research.cornell.edu/VPR/Policies/PI-policy.html).

Research scientist and principal research scientist titles are academic and should not be used for those whose positions are primarily administrative, even if the responsibilities include some research. Some administrative responsibilities, however, are unavoidable in creating and managing research laboratories, and this should not be interpreted to preclude appointment to these titles.

Research scientists and principal research scientists may be appointed in academic departments or in research centers. They are not members of the University Faculty. Research scientists and principal research scientists are non-voting members of their college or school faculty and may be given the right to vote by that faculty.

Research scientists and principal research scientists normally are not permitted to teach courses for credit. In the event that some teaching of courses for credit is desired by the individual and requested by the appointing department, this teaching must be consistent with the terms of their funding and must be approved by the dean (and, if different, the dean of the college responsible for the teaching). Where teaching is assigned, care must be taken not to shift teaching expense inappropriately to research grants or contracts. In no case should such an individual teach for an extended consecutive period.

Research scientists and principal research scientists must hold a research Ph.D. degree (or foreign equivalent) in a field appropriate to the position. To qualify for the title, research scientists and principal research scientists also are expected to have achieved significant stature in the scholarly discipline, to have demonstrated the quality of research accomplishment appropriate to initiating independent research programs, and to have demonstrated a trajectory that promises a continued high level achievement.

While there may be a transition period before research funding supports the position, appointments normally are expected to be supported by such funds; other funding sources are permitted. Provisions regarding start-up funds, facilities and support should be articulated in the
initial appointment letter. The offer and appointment letters should include notification that the appointment may be terminated early or modified if funding is withdrawn or reduced. Nonrenewal or early termination of appointment also may occur on the basis of other significant resource constraints, unreliable funding prospects, seriously diminished interest in the research area or relevance to the appointing unit’s research mission, or performance.

An individual may be appointed directly to the principal research scientist title or promoted from research scientist. The line of progression in these titles is limited to research scientist and principal research scientist – there is no routine expectation of promotion from senior research associate. There is no routine expectation of promotion from these titles to senior scientist. If an out-of-progression title change is proposed, an affirmative action search or approval of a waiver of search is necessary before the change in appointment may be approved; review procedures governing appointment to the title also pertain for approval of the change in title.

These titles reflect salaried positions that are subject to affirmative action regulations. Search procedures should follow those used by a department to fill professorial positions. Appointment length for principal research scientist and research scientist may be for up to five years. There is no “time-in-title” limit or restriction on the number of times the appointment to either title may be renewed. A dossier-based review must be conducted for initial appointment. Through an exception approved by the department chair and the dean, the dossier-based review may be conducted during the first year, with continued appointment contingent on successful review. This dossier shall include letters from confidential external referees, letters from participants in current or recent research programs, an analytical transmittal letter with report of the faculty vote, and the report of an ad hoc committee to advise the dean, who makes the ultimate decision about appointment.

Reappointment decisions are recommended by the department or research center and are based primarily but not exclusively on quality of performance and on the availability of work and funds. The reappointment recommendation must be reviewed at one more level of the academic reporting structure, if not more. The final decision about reappointment is made by the dean or vice provost (or designee). Negative decisions and decisions not to review for reappointment are subject to local appeals procedures.

Promotion from research scientist to principal research scientist is based on quality of achievement, productivity, national and international stature in the field, leadership of the independent research program, effectiveness with colleagues and with participants in the research program, and service to the field. Promotion is not automatic, for example after a particular number of years in title. A formal dossier review is required for promotion to principal research scientist and follows the procedures for the dossier-based appointment review.
ACADEMIC TITLE DESCRIPTIONS

Senior Research Associate and Research Associate

Senior research associates are members of the research staff with a very high degree of experience and training in research. They have made extensive contributions to the scholarly discipline. Senior research associates normally are responsible to a member of the faculty but may serve, within certain limitations, as principal investigator on a grant or contract. They are responsible for independently designing and implementing research projects or programs. Their specific duties may include, but are not limited to, planning, conducting, and reporting on original research; designing, constructing, or operating state-of-the-art research apparatus; and supervising the overall research operations of a laboratory or facility. They may serve as minor members on graduate students’ special committees. They usually have extensive contacts with graduate students and informally guide their research. Although senior research associates may teach courses consistent with the terms of the funding of the position, normally they do not teach.

Research associates contribute, in collaboration with a principal investigator or faculty sponsor, to the design and implementation of research projects or programs. Research associates can be principal investigators on grants or contracts only on an exception basis. Their specific duties may include, but are not limited to, planning, conducting, and reporting original research; designing, constructing, or operating highly complex research apparatus; and supervising the research operations of a laboratory or facility. Research associates informally participate in graduate research training, but they may not be members of graduate committees, except as ad hoc additional, supplementary members. Research associates normally have no responsibilities for formal teaching but may participate in seminars or specialized portions of courses to an extent consistent with the terms of the funding of the position.

The senior research associate and research associate titles reflect academic positions and should not be used for those whose positions are primarily administrative, even if the responsibilities of the position include research.

Senior research associates and research associates are not members of the University Faculty. Senior research associates are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty. Each college or school faculty may, at its discretion, grant voting or non-voting membership to research associates.

Appointments of senior research associates and research associates require the Ph.D. (or the equivalent terminal degree in the discipline) in a field appropriate to the position. With the approval of the dean the M.D. or D.V.M. may be accepted in lieu of the Ph.D. Appointments are made for terms of up to five years for senior research associates and up to three years for research associates; both are renewable. Appointments are subject to the availability of funds, although notice provisions for non-renewal or for early termination of appointment pertain. When the position is supported by non-university funds, the offering letter must state that the appointment/reappointment may be terminated or modified if funding is withdrawn or reduced. Reappointment is based on quality of performance and the availability of work and funds.
Individuals may be appointed directly to the senior research associate title or be promoted to it from the position of research associate. To initiate a promotion review, the head of the research program asks the candidate to supply a personal statement of past research accomplishments and future goals together with a *curriculum vitae* that includes publications, honors and awards, service to professional organizations, and other relevant professional activities. These materials must accompany a covering letter from the head of the research program to the chair or director. The letter should address the candidate’s performance, contributions to scholarship, and standing in the field. The department chair or the director solicits letters of recommendation from known experts (at Cornell or elsewhere) who provide candid, confidential assessments of the candidate’s achievements. The chair or director then forwards the dossier and makes a written recommendation, either positive or negative, to the dean or the vice provost for research for final disposition.

These titles reflect salaried positions that are subject to affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Instructor

An instructor is responsible for teaching and research, and is expected to be able to plan and conduct courses with little or no supervision. The specific duties and expectations of the position vary considerably from one college or department to another. Because of the temporary nature of the title, departmental, college, and university service may or may not be a component of an instructor’s duties.

Instructors are not members of the University Faculty, and are not normally members of the Graduate Faculty. They are nonvoting members of their college or school faculty unless given the right to vote by the particular faculty. Candidates for degrees administered by Cornell University cannot be given voting rights by their college faculties.

Instructors may be appointed for a term not to exceed two years for a maximum period of service of five academic years.

The title of instructor is sometimes used at Cornell for a person whom the university intends to appoint as an assistant professor but who has not yet completed all the requirements of the expected terminal degree. The initial appointment is made at the level of instructor for a one-year term. At the discretion of the dean of the college or school, 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. Time spent as instructor does not count as part of the six-year probationary tenure period, nor does it accrue leave credit. The letter from the chair offering an instructorship intended to lead to a tenure-track appointment should specify departmental expectations and probable timing for assuming an assistant professorship. 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; the title change for Cornell degree candidates can occur only after the Graduate Faculty has voted on the degree list.

In some cases, individuals who have the degree are expected to serve for a period in the rank of instructor before entering the tenure track.

The instructor title is also used when a department has a temporary vacancy (for example, a faculty member is on leave) and an instructor is appointed, either full-time or part-time, to fill some of its teaching and research responsibilities. These are temporary appointments not involving probationary tenure status. If the assigned responsibilities consist only of teaching, the title “lecturer” should be used instead of “instructor,” since the latter requires research as well as teaching activity.

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

Postdoctoral Associate and Postdoctoral Fellow

Postdoctoral associates and postdoctoral fellows are appointed to the research staff where their primary goals are to extend their own education and experience. Although they hold a doctoral degree, they are not considered independent researchers and cannot serve as principal investigators.

The selection of “associate” or “fellow” for the title reflects traditions of the field and, in some cases, sources of funding, although a postdoctoral fellow need not hold a fellowship. Postdoctoral fellows are supported in almost all cases by outside funding agencies. Postdoctoral fellowships in the endowed units can be supported by Cornell funds specifically designated for such purposes, e.g., departmental postdoctoral fellowships. Postdoctoral fellowships also may be supplemented by college or departmental funds. Whether the fellowship is paid directly to the individual or channeled through Cornell’s accounting system, postdoctoral fellows are not Cornell employees and do not receive Cornell salary through the payroll system.

According to governmental regulations, the postdoctoral fellow title cannot be used if the source of funding is a federal research grant or contract; in the contract college units only, the source of funds cannot be state or federal formula income or state contract funds. With the funding agency’s permission to reduce the fellows’ percentage of effort, postdoctoral fellows may hold concurrent, part-time lectureships and receive compensation for teaching duties through the payroll system.

According to Cornell’s agreement with the State of New York, postdoctoral associates in the contract colleges are supported by research grants and contracts only.

Some sponsoring agencies grant host institutions an allowance to help meet the cost of providing postdoctoral fellows with laboratory space, office space, supplies, and equipment. Department chairs must ensure that offering letters to postdoctoral fellows describe in detail those departmental, college, or university resources that can be expected while at Cornell, such as staff support, office or research space, funds for supplies, computer time, long-distance telephone service.

Persons appointed to postdoctoral titles often participate in the research training of graduate students and sometimes teach informally. Although these are research titles, there are circumstances that permit teaching. The humanities and other non-laboratory-based disciplines may use postdocs in the classroom as a form of scholarship. Postdocs also may teach as a way of developing academic skills in anticipation of a faculty career, if the experience is formally mentored and appropriate attention continues to be devoted to development of the research program. Postdocs must not be used to supplant the use of lecturers and senior lecturers in the curriculum. Postdocs with appropriate teaching responsibility may be appointed concurrently to a “lecturer” title – total effort for postdoctoral associates may not exceed 100%.
Postdoctoral titles are not in the promotion sequence of research associate-senior research associate. If the faculty sponsor, department chair, and dean agree to convert a postdoctoral position into a research associate position (that carries with it the possibility of unlimited renewals), the change in title can occur only after the incumbent has served three full-time equivalent years in the same Cornell postdoctoral position. Movement to a research associate title must occur as the result of a full search or by waiver of search; waiver of search in this context requires three full years in the same Cornell postdoctoral experience, and the waiver request and supporting package requires approval through the Academic Personnel Policy Office.

Postdoctoral appointments are made for terms of up to one year and may be renewed annually, normally not renewable beyond five years. In extenuating circumstances that are temporary in nature, and with the support of the dean's office, a waiver to extend a postdoctoral appointment beyond a fifth year may be granted by the Office of Workforce Policy and Labor Relations. When a candidate brings a postdoctoral fellowship that exceeds five years by design, the waiver is approved. Waivers of limit to time in title also are approved when a postdoctoral associate obtains a postdoctoral fellowship and the combined time exceeds the five-year limit.

Postdoctoral associates are not members of the University Faculty; college faculties may confer voting or non-voting status. Postdoctoral fellows cannot be considered for membership in university or college faculties.

The postdoctoral associate and postdoctoral fellow titles are exempt from affirmative action search requirements. There are no lines of progression to regular career titles. Movement to a research associate title is by special exception only.

Minimum postdoctoral associate salaries are mandated on an annual basis by the vice provost for research

Postdoctoral fellows paid by outside agencies are required to show proof of health insurance coverage. Exemptions may be requested from the office of the Vice Provost for Research.
ACADEMIC TITLE DESCRIPTIONS

Senior Lecturer and Lecturer

The responsibilities of the positions are primarily, if not entirely, in teaching; research responsibilities are not expected to be included.

The title senior lecturer implies significant professional qualifications. Senior lecturers are expected to teach in the classroom or laboratory; to meet with students during scheduled office hours; to prepare and grade assignments and examinations; to contribute to the design, syllabi, and organization of departmental course offerings; and to know applications and development of pedagogy in the field. Senior lecturers often engage in scholarly research and usually carry administrative duties that include activities such as developing independent or team-taught courses, producing teaching materials and methodologies, and training or supervising lecturers and teaching associates.

Lecturers are responsible for classroom teaching and its related activities. The position is based on professional qualifications in teaching. Lecturers are expected to teach in the classroom or laboratory; to meet with students during scheduled office hours; to grade assignments and examinations; to contribute to the design, syllabi, and organization of departmental course offerings; and to know applications and development of pedagogy in the field. Lecturers who have served for several years may be asked to assume administrative responsibilities for departmental course offerings or to train and supervise less experienced colleagues.

Promotion to senior lecturer is based on excellence in teaching and pedagogy. Such excellence may be shown in classroom teaching; contributions to the design, syllabi, and organization of departmental course offerings; and applications or development of pedagogy in the field. Contributions to pedagogical advances will vary from field to field, and may be demonstrated by, but not limited to, developing independent or team-taught courses, creating teaching materials and methodologies, training and supervising other lecturers, or holding administrative or supervisory responsibilities for course offerings.

The dean is responsible for determining appropriate qualifications for senior lecturers and lecturers; those qualifications may vary by subfield or department. Senior lecturers may be hired at that rank if they have appropriate qualifications and experience; they also may be promoted to that rank after six years of service as lecturer.

Appointments of senior lecturers are for periods of no more than five years and are renewable. Appointments of lecturers are for periods of not more than three years and are renewable. The university Bylaws provide as follows:

“For those cases where senior lecturers or lecturers are employed to address long-term teaching needs, the terms of appointment shall be five and three years respectively; one-year appointments shall be reserved for one-year replacements and other short-term needs, and initial probationary appointments.”
Lecturers and senior lecturers are not members of the University Faculty. They are non-voting members of the college or school faculty, except as stated below, or unless given the right to vote by the particular faculty in circumstances defined by that faculty. (Voting members of a college or school faculty may not be candidates for Cornell degrees.) However, they participate fully in those decisions that are directly related to their roles within the college or school and within the department. The dean or director has the responsibility of identifying those issues that are related to their roles within the college or school, and the department chair has that responsibility within the department. The Bylaws of the University specify that within the department, senior lecturers shall participate fully in hiring decisions of other senior lecturers and lecturers, and lecturers shall participate fully in hiring decisions of other lecturers. The bylaws further specify that, notwithstanding the above, in units where the number of lecturers and senior lecturers is comparable to the number of professorial faculty, the provost may determine the appropriate level of participation by lecturers and senior lecturers in curricular decisions.

Provost’s policy instituted specific periods of notice for non-renewal or termination of appointment for lecturers and senior lecturers (information is available in the “Appointment Termination” section of this policy and on the website of the Academic Personnel Policy Office).

According to January 1974 Trustee legislation establishing the title “senior lecturer,”

“The Senior Lecturer and Lecturer titles shall not be used: a) To fill faculty positions, the teaching and research nature of which appropriately calls for professorial appointments; b) as a substitute for tenure appointments or appointments that would normally lead to tenure; and c) as a means of the appointing unit circumventing the commitments and obligations associated with the tenure appointments.”

Trustee legislation further stipulates that,

“Persons holding Senior Lecturer or Lecturer appointments may be considered for transfer to professorial rank when the assumption of both teaching and research responsibilities makes such a consideration appropriate,”

and that,

“Persons holding professorial appointments may not be transferred to Senior Lecturer or Lecturer positions as a means of maintaining the employment of persons who have not qualified for retention via tenure appointment in accordance with criteria and procedures governing such appointments.”

Note that an affirmative action search or waiver is required when a lecturer or senior lecturer is moved to a tenure-track, professorial position.

Persons appointed to a senior lecturer or lecturer title will not be granted tenure or be eligible for sabbatic leave, but they may be eligible for professional development leave http://www.policy.cornell.edu/vol6_2_1.cfm.

These titles reflect salaried positions that are subject to affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Teaching Associate

A teaching associate has the duties and the responsibilities of a graduate teaching assistant but is not a registered student. Unlike graduate teaching assistants, teaching associates are not limited to part-time employment, and their salaries are not linked to those for graduate teaching assistants.

Teaching associates are responsible for assisting in the classroom and carrying out a variety of assignments under the guidance of a course leader. Duties may include, but are not limited to, preparing course materials, lecturing on specific topics, directing laboratory or discussion sections, and grading assignments or examinations. They are not members of the University or Graduate Faculties; voting or non-voting membership in college faculties may be accorded to them at the discretion of the particular faculty.

Appointments as teaching associate can be for up to one year and are renewable.

This title is not in the promotional sequence for lecturer/senior lecturer.

The title reflects salaried positions that are subject to affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Senior Extension Associate and Extension Associate

Senior extension associates provide leadership in planning, developing, coordinating, implementing, and evaluating complex, state-of-the-art educational extension and outreach programs. Senior extension associates independently carry out innovative applied research programs, supervise professional and administrative staff, and work with faculty and clientele. They possess in-depth knowledge of relevant state or national extension systems, and they are recognized experts in their fields as demonstrated by extensive professional publications and contacts. Senior extension associates also apply advanced problem-solving and administrative skills that contribute to the financial and organizational aspects of program management. Although precise duties and responsibilities vary from position to position, senior extension associates are expected to work effectively with faculty, governmental officials, colleagues, and volunteers, and, in some instances, to serve as senior administrators.

Extension associates are responsible, under the general supervision of faculty or senior extension associates, for planning and implementing educational extension programs. They collaborate with representatives from communities and with researchers in the college or school to plan, conduct, maintain, and/or evaluate innovative educational programs that address specific local, multi-county, or statewide needs. Although precise duties and responsibilities will vary from position to position, all extension associates are expected to conduct applied research, to work effectively with colleagues or volunteers, to act as community educators, and to serve as liaisons – as project and/or area program team leaders – between the university and the public.

He or she would be expected, for example, to be able to develop programs and program materials either together with, or under the direction of, an extension program leader. An extension associate does not normally have responsibilities for graduate students.

A senior extension associate has significant professional qualifications. Appointment as senior extension associate in Cornell Cooperative Extension requires the Ph.D., and the Ph.D. is preferred for other appointments as senior extension associate; otherwise an advanced professorial degree (such as a D.V.M. or M.D.) or master’s degree in a pertinent discipline is required. A senior extension associate is expected to have six or more years of related work experience (eight or more if the qualifying degree is a master’s degree that is non-terminal for the field). An extension associate has qualifications for independent extension programming or administration and is required to hold a master’s degree in a pertinent discipline (or an advanced professional degree, i.e., D.V.M. or M.D.) and to have two or more years of related work experience. Cornell Cooperative Extension and ILR Extension may specify additional or more stringent requirements.

Senior extension associates and extension associates are not members of the University Faculty. Senior extension associates are nonvoting members of their college or school faculties unless given the right to vote by the particular faculty. For extension associates, voting or nonvoting membership in college faculties may be granted at the discretion of those faculties. They normally do not have a role in training graduate students. Within certain limitations senior
extension associates may be principal investigators on grants or contracts; extension associates may be principal investigators on an exception basis only http://www.research.cornell.edu/VPR/Policies/PI-policy.html.

Appointment as senior extension associate or extension associate is not restricted to such units as Cornell Cooperative Extension or ILR Extension, although the relevant colleges and the school govern appointments to the titles in their units. Senior extension associates are appointed for terms of up to five years and may be reappointed on the basis of recommendations by the department and the appropriate extension director and dean(s). Extension associates may be appointed to terms of up to three years, renewable. Reappointment is based on the continuing need for the position, the quality of performance, and the availability of funds.

Promotion to the rank of senior extension associate is not automatic, but may be undertaken when a senior position becomes necessary or available and when an extension associate has demonstrated high levels of ability, independence, originality, and productivity. Promotions are based on the candidate’s past performance, prominence in the field, and ability to anticipate future programming needs. A formal review is required for promotion to senior extension associate.

The titles reflect salaried positions that are subject to affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Librarian and Archivist

The Board of Trustees authorized the following academic titles for professional librarians and archivists: assistant librarian, assistant archivist, senior assistant librarian, senior assistant archivist, associate librarian, associate archivist, librarian, archivist, assistant university librarian, associate university librarian, and university librarian.

Professional librarians and archivists are responsible for administration, development, and management of library programs and collections.

The titles reflect salaried positions that are subject to affirmative action regulations.

The university librarian, who also holds the title Carl A. Kroch University Librarian, is the principal administrator of the research libraries and collections that constitute Cornell University Library. The university librarian, the associate university librarian, and the assistant university librarian all are ex officio voting members of the University Faculty.

Procedures governing appointment, reappointment, and promotion of professional librarians and archivists are discussed in "Cornell University Library Procedure #13," copies of which are available in the Library Human Resources Office and online at http://www.library.cornell.edu/staffweb/Procedures/Procedure13.html.

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

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

Librarian, Associate Librarian, Senior Assistant Librarian and Assistant Librarian. A librarian has professional, graduate-level training and experience, including an M.L.S. or equivalent graduate degree and evidence of subject expertise if required for the position. The responsibilities involve the administration of libraries and the development and management of library programs and collections in support of teaching and research. A librarian is appointed to one of the four ranks (assistant librarian, senior assistant librarian, associate librarian and full librarian). Thereafter a librarian is promoted as governed by Cornell University Library procedure.
Archivist, Associate Archivist, Senior Assistant Archivist and Assistant Archivist. An archivist has professional, graduate-level training and experience. An archivist’s responsibilities involve the administration of archival collections and programs. The ranking system, educational requirements, and terms of appointment are the same as those for librarians.
ACADEMIC TITLE DESCRIPTIONS

Visiting Fellow

The visiting fellow title allows fellowship holders and scholars on leave from other academic institutions or persons from business, industry, or government to be affiliated with and participate in the research program of the appointing unit. Visiting fellows need not hold a fellowship.

Visiting fellows are not considered Cornell employees and do not receive salary from Cornell; however, to grant access to university facilities and services, formal appointments must be made. They have no teaching responsibilities, but they can be invited to present specialized seminars or lectures. Appointments of visiting fellows may be for as little as several weeks or up to one year; these appointments are renewable, but the total time spent as visiting fellow cannot exceed three years, irrespective of departmental affiliations.

Visiting fellows ordinarily hold advanced degrees and are well-established in their discipline. The title should not be used to appoint external graduate students, either foreign or American. In exceptional circumstances and when the department chair makes a strong case, the dean may authorize the appointment of an external graduate student if the student will contribute to, rather than take from, the department’s academic program; the appointee is not permitted to enroll in classes, graduate or undergraduate, or to receive course credit. A foreign student already in the United States on a student visa sponsored by another university cannot be appointed as a visiting fellow at Cornell unless all degree requirements have been completed and the visa has been extended for “practical training.” Before issuing an offer letter to any foreign graduate student the department chair should contact the International Students and Scholars Office http://www.isso.cornell.edu/. Cornell graduate students cannot be appointed as visiting fellows unless all degree requirements have been met.

All visiting fellows must be assigned a percentage of effort, and those who are appointed half-time for at least one semester (i.e., a full six-month period or the four and one-half month academic semester) are eligible to purchase endowed health and accident insurance. Department chairs must ensure that offer letters to visiting fellows describe in detail those departmental, college, or university resources that can be expected while at Cornell, e.g., staff support, office or research space, funds for supplies, computer time, long-distance telephone service.

Appointment to the “visiting fellow” title is exempt from affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Visiting Critic

The visiting critic title is used primarily by the College of Architecture, Art and Planning and those departments in the College of Arts and Sciences concerned with performing and literary arts. Visiting critics need not hold an academic appointment at another university; individuals appointed to this title often are practitioners such as architects, artists, musicians, or writers. Visiting critics participate in the academic life of the department and while they may be asked to take on a variety of activities, their principal responsibility is to share their unique expertise with students and faculty. Visiting critics may be asked to teach formal courses or present specialized lectures.

Visiting critics ordinarily hold advanced degrees and are well-established in their discipline. The title should not be used to appoint external graduate students, either foreign or American. In exceptional circumstances and when the department chair makes a strong case, the dean may authorize the appointment of an external graduate student if the student will contribute to, rather than take from, the department’s academic program; the appointee is not permitted to enroll in classes, graduate or undergraduate, or to receive course credit. A foreign student already in the United States on a student visa sponsored by another university cannot be appointed as a visiting critic at Cornell unless all degree requirements have been completed and the visa has been extended for “practical training.” Before issuing an offer letter to any foreign graduate student the department chair should contact the International Students and Scholars Office http://www.isso.cornell.edu/. Cornell graduate students cannot be appointed as visiting critics unless all degree requirements have been met.

Appointments of visiting critics can be made either with or without salary for as little as several weeks or up to one year, renewable up to a total of three years, irrespective of departmental affiliation. Appointments, whether paid or unpaid, must be assigned a percentage of effort as visiting critics are eligible to purchase endowed health and accident insurance if they are appointed at least half-time for one semester (i.e., a full six-month period or the four and one-half month academic semester). Department chairs must ensure that offer letters to visiting critics describe in detail those departmental, college, or university resources that can be expected while at Cornell, e.g., staff support, office or research space, funds for supplies, computer time, long-distance telephone service.

Appointment to the “visiting critic” title is exempt from affirmative action regulations.
ACADEMIC TITLE DESCRIPTIONS

Visiting Scholar and Visiting Scientist

The visiting scholars and visiting scientist titles allow persons on leave from other academic institutions or persons from business, industry, or government to be affiliated formally with and participate in the research program of the appointing unit. Visiting scholars and visiting scientists have no formal teaching responsibilities, but they can be invited to present specialized seminars or lectures.

Visiting scholars and visiting scientists ordinarily hold advanced degrees and are well-established in their discipline. The title should not be used to appoint external graduate students, either foreign or American. In exceptional circumstances and when the department chair makes a strong case, the dean may authorize the appointment of an external graduate student if the student will contribute to, rather than take from, the department’s academic program; the appointee is not permitted to enroll in classes, graduate or undergraduate, or to receive course credit. A foreign student already in the United States on a student visa sponsored by another university cannot be appointed as a visiting scholar or visiting scientist at Cornell unless all degree requirements have been completed and the visa has been extended for “practical training.” Before issuing an offer letter to any foreign graduate student the department chair should contact the International Students and Scholars Office http://www.isso.cornell.edu/. Cornell graduate students cannot be appointed as visiting scholars or visiting scientists unless all degree requirements have been met.

Visiting scholars and visiting scientists can be appointed either with or without salary for as little as several weeks or up to one year, renewable up to a total of three years, irrespective of departmental affiliation. Appointments, whether paid or unpaid, must be assigned a percentage of effort as visiting scholars and visiting scientists are eligible to purchase endowed health and accident insurance if they are appointed at least half-time for one semester (i.e., a full six-month period or the four and one-half month academic semester). Offer letters to visiting scholars and visiting scientists must describe fully those departmental, college, or university resources that are available during a stay at Cornell, e.g., staff support, office or research space, funds for supplies, computer time, long-distance telephone service.

Appointment to the “visiting scholar” or “visiting scientist” title is exempt from affirmative action regulations.
APPENDIX 3

APPROVED MODIFIERS OF ACADEMIC TITLES

Note: Title descriptions for visiting fellow, visiting critic, visiting scholar and visiting scientist are located at the end of the previous appendix, Academic Title Descriptions.

In a particular appointment only one modifier may be used with the academic title.

Acting

Among academic titles, “acting” may be applied only to assistant professor, associate professor or professor. “Acting” indicates a temporary situation. For example, an assistant professor may be designated as acting if the academic degree normally required for the position has not been completed at the time of the appointment. Holders of the “acting” professorial titles are members of the University Faculty but do not have voting status.

The term “acting” also may be used for a person who temporarily fills the position of chairperson, director, or dean. (The provost also may approve use of the modifier “Interim” for a dean.) The incumbent may designate an individual to assume the responsibilities of the position for a short period without making a formal appointment. However, if the period is prolonged (e.g., the chairperson, the dean, or the director is on leave or there is no incumbent), an appointment is required with the same approvals necessary as those for an unmodified title.

Since “acting” appointments are always temporary, the term of the appointment is normally for up to one year. It is renewable only in unusual circumstances.

Adjunct

The Bylaws of the University, in the Article on the Instructional and Research Staff, describe use of the “adjunct” modifier as follows (note that “by the President” means “under presidential authority,” indicating that the appointment does not require Trustee approval):

“Adjunct Professors: Persons having professional qualifications for regular faculty appointments but who will serve only part-time may be appointed by the President to the staff of instruction and research as adjunct professor, adjunct associate professor or adjunct assistant professor. Adjunct professors or adjunct associate professors may be appointed for renewable terms of not to exceed five years each. Adjunct assistant professors may be appointed for renewable terms of not to exceed three years each.”

A person whose title is modified by “adjunct” is one who, although his or her primary responsibility is outside the department (for instance, in another department or outside the university), is willing to contribute part-time to the academic program. The appointment normally involves compensation. “Adjunct” may be applied only to the titles assistant professor, associate professor, and professor.
The academic qualifications of individuals appointed to adjunct professorships are comparable to those of regular faculty members, and appointment procedures are identical to those for regular academic positions. Adjunct appointments of professors and associate professors can be for up to five years, while those of assistant professors are for up to three years. Both are renewable; there is no limit to the total time permissible in the titles with reappointments. The approval of the dean is required.

Individuals holding adjunct professorships are members of the University and college faculties but do not have voting privileges. Voting membership in college faculties may be conferred by the college.

**Courtesy**

The Bylaws of the University, in the Article on the Instructional and Research Staff, describe use of the “courtesy” modifier as follows (note that “by the President” means “under presidential authority,” indicating that the appointment does not require Trustee approval):

“**Courtesy Appointments:** Persons having professional qualifications for regular faculty appointments who serve on the staff of an academic department although employed by an outside agency, may be appointed by the President to the teaching staff at the professorial, instructor or lecturer level with the modifier "courtesy" appended to the appropriate title. Such courtesy appointments may be approved for renewable terms of not to exceed five years each. Courtesy appointments, reappointments and promotions shall be subject to the same departmental and college reviews as regular professorial appointments. Such appointments shall be without salary or fringe benefits.”

People with courtesy appointments housed in an academic department receive neither salary nor salary-related plan benefits from the university and have a primary responsibility outside Cornell, although they are expected to perform at Cornell at least some of the functions associated with the title. The normal departmental and college-level decision process for appointments is followed. The “courtesy” modifier may be applied only to assistant professor, associate professor, professor, instructor, senior lecturer and lecturer. Courtesy appointments can be made for terms of up to five years and are renewable; there is no limit to the total time permissible in the titles with reappointments. It is customary for the length of a “courtesy” instructor or lecturer appointment not to exceed the limit that governs an appointment to the unmodified title, for instance three years for a courtesy lecturer, renewable.

Individuals holding courtesy professorial appointments are voting members of the University Faculty.
Visiting

The “visiting” modifier may be applied only to the titles assistant professor, associate professor, professor, instructor, senior lecturer, lecturer, senior scholar, and senior scientist.

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

At times a department may offer space and facilities to a scholar or a scientist on leave and receiving total support and compensation from an institution or an agency other than Cornell. If the individual is a member of the faculty of another college or university, the “visiting” appointment should be made at the same professorial rank he or she currently occupies. If the person does not already have a professorial title, the “visiting fellow” title should be used.

Questions about such resources as staff support, office or research space, financial support from Cornell or the research program or about supplies, computer time, and the like, should be resolved for the offer letter before the appointment is made.

Visiting appointments, except for visiting professors, can be made for up to one year and are renewable for up to a total of three years.
### APPENDIX 4: ACADEMIC APPOINTMENT TERMS & AUTHORITY

<table>
<thead>
<tr>
<th>Title</th>
<th>Maximum Term &amp; Renewability</th>
<th>Maximum Time in Title</th>
<th>Authority (Exercised by/via) &amp; Special Academic Review Centrally</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Professor Emeritus</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>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><strong>University Professor</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Tenured only = indefinite</td>
<td>No maximum</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td><strong>Endowed Prof. (tenured faculty) or Named Position (term appt.)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Indefinite unless limited during establishment</td>
<td>End of current acad. appt.</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td><strong>Professor</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>external appt. 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 appt., tenure-track</td>
<td>5 yrs., not renewable</td>
<td>5 yrs.</td>
<td>President (Dean/Records) maximum tenure clock 5 yrs.</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 appt., non–tenure-track</td>
<td>5 yrs., not renewable</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td><strong>Associate Professor</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>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 prof.</td>
<td>same 5-yr. limit clock does not re-set</td>
<td>same 5-yr. limit</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>external appt. 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 appt., tenure-track</td>
<td>5 yrs., not renewable</td>
<td>5 yrs.</td>
<td>President (Dean/Records) maximum tenure clock 5 yrs.</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 appt., non–tenure-track</td>
<td>5 yrs., not renewable</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td><strong>Assistant Professor</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>promotion to asss. 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 prom. to asss.</td>
<td>5-yr. limit asst. clock does not re-set</td>
<td>5-yr. limit</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>tenure-track</td>
<td>4 yrs., renewable to 6</td>
<td>6 yrs.</td>
<td>President (Dean/Records) maximum tenure clock 6 yrs.</td>
</tr>
<tr>
<td>tenure review began did not result in tenure</td>
<td>1 yr. terminal appt., not renewable other titles not available</td>
<td></td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Title</td>
<td>Maximum Term &amp; Renewability</td>
<td>Maximum Time in Title</td>
<td>Authority (Exercised by/via) &amp; Special Academic Review Centrally</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>----------------------------</td>
<td>-----------------------</td>
<td>------------------------------------------------------------------</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 yrs., limited renewal</td>
<td>Per Trustee approval</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td>Acting Prof., Assc. or Asst. Prof.</td>
<td>1 yr., renewable once</td>
<td>2 years</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Adjunct Professor or Assc. Prof.</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Adjunct Assistant Professor</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Prof., Assc. Prof.</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Asst. Prof.</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Prof., Assc. Prof.</td>
<td>3 yrs., renewable to 5</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Asst. Prof.</td>
<td>3 yrs., renewable to 4</td>
<td>4 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Endowed Professorial title</td>
<td>1 year, limited renewal</td>
<td>Per Trustee approval</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>Senior Scholar, Senior Scientist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Provost/APPO) special procedures</td>
</tr>
<tr>
<td>Principal Research Scientist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Research Scientist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Sr. Scholar, Sr. Scientist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Instructor</td>
<td>2 yrs., renewable to 5</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Instructor</td>
<td>2 yrs., renewable to 5</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Instructor</td>
<td>1 yr., renewable to 5</td>
<td>5 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Lecturer</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Senior Lecturer</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Courtesy Lecturer</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Senior Lecturer</td>
<td>1 yr., renewable to 3</td>
<td>3 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Lecturer</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Senior Research Associate</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Research Associate reclassified from Postdoc title</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
</tbody>
</table>
### Cornell University Academic Titles and Appointments Policy

**APPENDIX 4: ACADEMIC APPOINTMENT TERMS & AUTHORITY**

<table>
<thead>
<tr>
<th>Title</th>
<th>Maximum Term &amp; Renewability</th>
<th>Maximum Time in Title</th>
<th>Authority (Exercised by/via) &amp; Special Academic Review Centrally</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Associate</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Extension Associate</td>
<td>3 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>University Librarian</td>
<td>5 yrs., renewable</td>
<td>Per Trustee approval</td>
<td>Board of Trustees via Provost special procedures</td>
</tr>
<tr>
<td>Associate University Librarian</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Assistant University Librarian</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Librarian, Archivist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Ascc. Librarian, Assc. Archivist</td>
<td>5 yrs., renewable</td>
<td>No maximum</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Sr. Asst. Libr., Sr. Asst. Archivist</td>
<td>3 yrs.</td>
<td>3 yrs.</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Asst. Libr., Asst. Archivist</td>
<td>1 yr., then 2 yrs.</td>
<td>3 yrs.</td>
<td>President (Dean/Records) special procedures</td>
</tr>
<tr>
<td>Postdoctoral Associate or Fellow</td>
<td>1 yr., renewable four times</td>
<td>5 yrs. in postdoc status</td>
<td>President (Dean/Records) special procedures time-in-title exception available for Postdoctoral Associates who obtain fellowships</td>
</tr>
<tr>
<td>Teaching Associate</td>
<td>1 yr., renewable</td>
<td>No limit</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Scientist, Visiting Scholar</td>
<td>1 yr., renewable twice</td>
<td>3 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Critic</td>
<td>1 yr., renewable twice</td>
<td>3 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
<tr>
<td>Visiting Fellow</td>
<td>1 yr., renewable twice</td>
<td>3 yrs.</td>
<td>President (Dean/Records)</td>
</tr>
</tbody>
</table>
APPENDIX 5

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 Instructor
Visiting Lecturer, Visiting Senior Lecturer
Appendix 6: APPOINTMENT CHECKLIST

Appointment transactions must be submitted as soon as possible to establish affiliation, to initiate the payroll process and to avoid complications in enrolling in benefits.

The following considerations may influence the terms of appointment. In order to avoid difficulties in the final stage of an appointment, check these items when a person has been chosen to fill a vacancy. These factors are cumulative; that is, all factors should be checked for the appointment of a tenured faculty member.

All Appointments

1. Is the title authorized for use? Consult the policy section “Academic Titles.”

2. Note affirmative action responsibilities and procedures in the policy section “Affirmative Action Search Procedures.”

3. Is the salary within the allowable level for usual authority? If not, Trustee approval may be required. (Please consult the footnote on the annual Deans’ Dossier Schedule, available on the website of the Academic Personnel Policy Office.)

4. If the appointee is an alien, contact the International Students and Scholars Office http://www.isso.cornell.edu/. There are laws and regulations relative to the appointment of aliens in the United States. Non-citizens with permanent resident or immigrant status have the same rights and privileges of employment which are accorded citizens and there are regulations which prohibit discrimination on the basis of alienage. Permanent residents are issued proof of their status. There are no special provisions or requirements for the appointment of permanent residents.

5. If the individual is to be paid from nonappropriated funds (soft money) and the appointment is for longer than one year, consult the policy section “Appointments on Grants and Contracts.”

6. For appointments longer than one year, is the term within the maximum allowed for that title? Consult the policy section “Terms and Authority for Appointments.”

7. Are the dates of the term of appointment and the renewability noted in the letter of appointment? Consult the policy section “Letters of Appointment” for the information that should be in a letter of appointment.

8. If the appointee is related to someone in the department, consult the policy section “Nepotism.”

9. Does the appointment involve zero compensation? Consult the policy section “Appointments with Modified Titles.”
10. Are the responsibilities of the position outlined in the appointment letter? Consult the “Appointments” policy section for relevant faculty legislation.

**Lecturers, Instructors, and Professorial Titles**

11. If the appointee is to receive partial compensation from a center or program, consult the policy section “Appointments in Centers and Programs.”

12. If the appointee is an individual whose Cornell tenure review had begun and who has not been awarded tenure, consult the policy section on “Appointment of Persons Not Awarded Tenure.” This reference does not apply to the appointment of such individuals to the terminal year.

13. If the appointee has a modified title (adjunct, courtesy, visiting, or acting) consult the policy section “Appointments with Modified Titles.”

14. If the appointee has a joint appointment, consult the policy section “Joint Appointments.”

15. Is the individual a candidate for a Cornell degree? If so, the Bylaws impose limitations on the types of positions which can be held. Consult the policy section “Appointment of Candidates for a Cornell Degree.”

**Appointments on Probationary Tenure Status**

16. Note the University Faculty procedures for recruiting in the policy section “Faculty Appointments.”

17. If the appointee recently received a PhD from Cornell, consult the policy sections “Faculty Appointments” and “Affirmative Action Search Procedures.”

18. If there is to be an agreement involving a reduction of the normal time for a tenure decision, it should be noted in the letter of appointment. Consult the policy section “Tenure” for “The Probationary Period.”

19. If the appointee requires unusual library resources, has the administration of the Cornell University Library been consulted?

20. If the moving expenses will be paid, consult the Cornell University Payment and Tax Services website at [http://www.payments.cornell.edu/Moving2.cfm#pymtamt](http://www.payments.cornell.edu/Moving2.cfm#pymtamt).

21. If the appointment is for part-time at a professorial rank and for an extended period, consult the policy section “Part-Time Appointment.”

22. For professors and associate professors on tenure-track term appointments, consult the policy section “Tenure” for “The Probationary Period.” Offer and appointment letters must
state whether the appointment is tenure-track or non-tenure-track; if tenure-track, a schedule for reappointment and tenure review must be provided.

23. For information on the Deans’ dates for submitting tenure recommendations so that the effective dates for Trustees’ approvals of tenure will occur within the tenure clock, consult the schedule posted on the Academic Personnel Policy Office website http://www.ohr.cornell.edu/contacthr/academicpersonnel/doss_Schedule_APPO.pdf.

24. If there is to be an agreement on previous service counting toward sabbatical leave, it should be noted in the letter of appointment. Consult the policy “Leaves for Professors and Academic Staff” http://www.policy.cornell.edu/CM_Images/Uploads/POL/vol6_2_1.pdf for the section “Sabbatical Leave,” particularly “Credit for Prior Service.”

**Appointments at the Tenure Level**

25. Approval from the provost is necessary before a letter of appointment involving tenure upon initial appointment for an external candidate can be sent. Consult the policy section “Tenure” for “External Appointments to Tenure.”