



POLICY MANUAL

FACULTY

Number 404

Subject: Faculty Appointments

Effective Date: July 1, 1997

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404.1 APPOINTMENT

An appointment is a contractual agreement between a faculty member and the University. The terms and conditions of the appointment are described in this manual, the faculty member's role statement (policies 405.6.1 and 11.1), and salary notification and benefits forms. As an integral part of the appointment, faculty shall be entitled to the full range of benefits and privileges for which they are eligible.

1.1 Policies Respecting Appointments

The University shall take sufficient time to seek, and then to investigate thoroughly, candidates for appointment to assure that only highly qualified personnel are employed, and shall not discriminate against any candidate on the basis of race, color, religion, sex, [sexual orientation](#), national origin, age, veteran status, marital or parental status, or the presence of any sensory, physical or mental disability or handicap.

The University shall hire as faculty members only candidates who are committed to excellence in [teaching, research, and/or extension work](#).

Faculty positions and administrative positions to be filled by faculty members, when external searches are being conducted, shall be advertised in media most likely to reach qualified persons who may have an interest, including those that will encourage [minority and female](#) applicants. In addition to candidate-initiated applications, faculty will be invited to submit nominations; and the [search and](#) screening committee will be obligated to identify qualified candidates by encouraging nominations and aggressively pursuing promising nominees.

1.2 Professional Services

Comment [C1]: Level II: See 403.3.3. This should be same as. Criminal background check align with HR policies?

Comment [C2]: Level II: Check for consistency

Comment [TF3]: Level II: Should it be under represented applicants?

Faculty members shall be employed and their professional services and compensation shall be determined in accordance with the following policies. Professional services are, for example, teaching, research, extension, library, and related and supporting services, and are described in the role statement.

(1) The University has a right to the full-time professional services of each faculty member as described in the role statement to the extent prescribed by his or her appointment.

(2) The appointments of tenured faculty members shall be automatically renewed annually. Notice in writing of intent to dismiss a tenured faculty member shall be in accordance with policy 407.4.2. Notice to terminate the employment of a tenured faculty member shall be in accordance with policies 406.2.3 and 4.4. Dismissal and termination are defined in policy 407.2.1(5).

Comment [C4]: Level II: Are these correctly cross referenced?

(3) The appointments of tenure-eligible faculty members in the probationary period are automatically renewed annually unless they receive notice of non-renewal in accordance with policy 407.7 (in particular, 7.3). Notice in writing of intent to dismiss a tenure-eligible faculty member shall be in accordance with policy 407.4.2. Notice to terminate the employment of a tenure-eligible faculty member shall be in accordance with policies 406.2.3 and 4.4. Dismissal and termination are defined in 407.2.1(5).

Comment [C5]: Level II: Should the 405 code be included here?

(4) Term appointments for faculty members are automatically renewed annually, based on funding and performance and funding, unless the faculty members are given notice of non-renewal in accordance with policy 407.7 (in particular, 7.3). Notice in writing to dismiss a faculty member with a term appointment shall be in accordance with policy 407.4.2. Notice to terminate the employment of a faculty member with a term appointment shall be in accordance with policies 406.2.3 and 4.4). Dismissal and termination are defined in policy 407.2.1(5).

Comment [C6]: Should this be 'or'?

(5) Special appointments for faculty members are renewed at the discretion of the academic unit in which the appointment is held. Special appointments may expire without notice of nonrenewal.

(6) Decisions to resign shall be submitted in writing by the faculty member as soon as possible, but not later than three months prior to the effective date of resignation. The notice shall be submitted to the department head, supervisor, or director (where applicable); that administrator shall advise the dean or vice president of the decision. The dean or vice president shall advise the provost who, in turn, shall advise the President. A faculty member's resignation terminates all rights and privileges, such as rank and tenure, which he or she enjoyed as a faculty member.

Comment [C7]: Level II: Is this an appropriate amount of time?

(7) A faculty member's professional service to the University shall be covered by appointment compensation. This shall not, however, prevent the university from employing faculty members for temporary assignments on supplemental appointments

with additional salary covering professional services beyond a standard load. Commitment for such extra service must have the specific approval of the appropriate department head, supervisor, director (where applicable), dean, or vice president, and the specific approval of the Provost and the President. Supplemental appointments shall not adversely affect the responsibilities described in the role assignment under the regular appointment.

Comment [C8]: Level II: Is this referring to 20% above?

(8) An initial role statement and any subsequent revisions to the role statement shall be prepared in accordance with policies 405.6.1 and 11.1.

(9) The salary of individual faculty members shall be arrived at following an annual appraisal of performance and merit by the appropriate administrators, including the department head, supervisor, director (where applicable), dean, or vice president. Consideration shall be given to the quality of the entire range of professional services as defined in the faculty member's role statement.

Comment [C9]: Level III: Can there be a reduction in salary?

1.3 Minimum Educational Requirements for Academic Rank

A master's degree or its equivalent is one of the prerequisites for employment with the rank of instructor, affiliate librarian, extension instructor, or assistant extension agent. Faculty members who are appointed to academic ranks in the following categories: core (policy 401.4.2), librarians (policy 401.4.3), and extension (policy 401.4.4), and do not currently hold a terminal degree are expected to obtain it. Tenure and promotion are predicated upon, among other criteria, the attainment of a terminal degree.

1.4 Graduate Degrees from the University

Except under unusual circumstances, it is the policy of the University not to grant graduate degrees to its own faculty members, where the degree satisfies a prerequisite for appointment or advancement in rank. Requests for exceptions must be individually considered and approved by the provost based on appropriate recommendations.

Comment [C10]: Level II: Is this the policy that is followed? Lecturers are often graduate students. Does it mean tenure eligible?

404.2 TERM OF APPOINTMENT; DEFINITION OF ACADEMIC YEAR

In the appointment of faculty members, two types of terms will be used: (a) an appointment on an academic year basis and (b) an appointment on a fiscal year basis.

Comment [C11]: Level III: Should there be a statement here protecting academic year faculty (9 months) from summer requirements?

Comment [C12]: Level II: Fiscal or academic year?

Academic year appointments are the standard appointments for faculty who have major role assignments in teaching. Academic year appointees receive holidays and sick leave; however, they do not earn annual leave. Faculty on academic year appointments may be absent from campus between terms after they have fulfilled the professional responsibilities of their role assignments; they may earn up to three additional months of salary for teaching, research or administrative assignments during the summer that precedes the academic year.

Comment [C13]: Level II: What about College of Science or teaching is not major aspect?

Comment [C14]: Level II: Clarify – summer occurs in two fiscal years.

An academic year does not exceed 274 consecutive calendar days commencing in mid-

August. Within this framework in any given year the specific dates for the academic year are approved by the Executive Committee.

Comment [C15]: Level II: Which Executive Committee?

Fiscal year appointments are made for teaching, research, extension, library, or administrative assignments, or for a combination of such assignments. Fiscal year appointees receive holidays and earn annual and sick leave.

404.3 APPOINTMENT PROCEDURES, TENURED OR TENURE-ELIGIBLE FACULTY AND FACULTY WITH TERM APPOINTMENTS

Comment [C16]: Level II: Does this match with HR policies?

The department head, supervisor or director (where applicable) and [search and](#) screening committee are responsible to insure that all University regulations pertaining to affirmative action and equal opportunity are adhered to throughout the appointment process.

3.1 The faculty of departments and other academic units, in conjunction with the department head, supervisor or director (where applicable), shall determine the need for and general parameters of faculty appointments congruent with their mission and role.

Comment [C17]: Level II: This is typically not being done.

3.2 The department head, supervisor, or director (where applicable) shall obtain authorization from the Provost through the appropriate dean or vice president to establish or fill any appointment on the academic unit's faculty.

3.3 The department head, supervisor, or director (where applicable) shall appoint a [search and](#) screening committee of not less than five members. A majority, and, where possible five members, must be appointed from among the faculty of the department or other academic unit. See policies 401.5.3(4) and 6.3(2) for limitations on appointments of faculty to serve on [search and](#) screening committees.

3.4 In consultation with the department head, supervisor, or director (where applicable) and the faculty of the academic unit, the [search and](#) screening committee shall prepare the job description and advertising in accord with university regulations.

Comment [C18]: Level II: Active recruiting of qualified applicants

3.5 The [search and](#) screening committee shall screen applicants according to the job description and identify a suitable pool of candidates, those to be further considered by the faculty and pertinent administrators. Where feasible, at least three candidates shall be identified.

Comment [C19]: Level III: Searches are confidential

3.6 Candidates shall be invited to come to the campus (and/or site of employment) at university expense for personal interviews, to give lectures, and/or participate in departmental seminars and other appropriate campus activities in order that the candidates shall become better known and evaluated, and to assure that they become acquainted with the institution and the locality of their prospective work and domicile.

3.7 Before an offer can be made to a candidate, the candidate shall have been interviewed on the campus (and/or site of employment) by the academic unit's faculty and pertinent

administrators.

Comment [C20]: Level II: Consistent with new policy for RCDE?

3.8 When the investigation of candidates has been completed, the [search and](#) screening committee shall solicit recommendations from faculty and pertinent administrators.

Utilizing these recommendations and their own knowledge of the candidates, the [search and](#) screening committee shall present a list of acceptable candidates to the department head, supervisor or director (where applicable) [ranked](#) in order of preference.

Comment [C21]: Level III: Describe strengths and weaknesses of each candidate.

3.9 The department head, supervisor, or director (where applicable) shall forward a recommendation from the list of acceptable candidates recommended by the [search and](#) screening committee, including all supporting information, to the dean or vice president.

3.10 The dean or vice president shall forward to the Provost the academic unit's recommendation together with all pertinent and supportive data. If the Provost is in agreement, the Provost, as the President's designee, shall recommend the appointment of the candidate to the Board of Trustees.

3.11 Tentative offers can be made to a prospective appointee only with the approval of the Provost.

3.12 Appointments to the faculty of the University are subject to the approval of the Board of Trustees.

404.4 APPOINTMENT PROCEDURES; FACULTY WITH SPECIAL APPOINTMENTS (Policy 401.6)

The department head, supervisor, or director (where applicable) is responsible to insure that all university regulations pertaining to affirmative action and equal employment opportunity are adhered to throughout the appointment process.

4.1 Adjunct and Visiting Ranks and Titles (Policies 401.6.2(1)and 6.2(2))

Before appointing faculty in the adjunct and visiting ranks, the department head, supervisor, or director (where applicable) shall consult with the faculty and then make a recommendation to the dean or vice president. In turn, the dean or vice president shall make a recommendation to the Provost. If the Provost is in agreement, the Provost, as the President's designee, shall recommend the appointment of the candidate to the Board of Trustees. Faculty appointments are subject to the approval of the Board of Trustees.

4.2 Temporary Ranks and Titles (Policy 401.6.2(3))

(1) The faculty of departments and other academic units, in conjunction with the department head, supervisor, or director (where applicable), shall determine the need for and general parameters of temporary faculty appointments congruent with their mission and role.

(2) The department head, supervisor, or director (where applicable) shall obtain authorization from the Provost through the appropriate dean or vice president to establish or fill a temporary appointment in an academic unit's faculty.

(3) The department head, supervisor, or director (where applicable) shall prepare the job description and advertising in accord with University regulations.

(4) The department head, supervisor, or director (where applicable) shall consult with the faculty and then make a recommendation to the dean or vice president. In turn, the dean or vice president shall make a recommendation to the Provost. If the Provost is in agreement, the Provost, as the President's designee, shall recommend the candidate to the Board of Trustees. Temporary faculty appointments are subject to the approval of the Board of Trustees.

4.3 Emergency Appointments

Emergency appointments to the temporary ranks (policy 401.6) may be recommended by the President to the Board of Trustees after consultation with the appropriate department head, supervisor, director (where applicable), and dean or vice president without following the procedures in policy 404.3.

404.5 APPOINTMENT PROCEDURES: FACULTY WITH ADMINISTRATIVE DUTIES IN A DEPARTMENT OR OTHER ACADEMIC UNIT

Comment [C22]: Level II: Active recruiting, HR policies, confidentiality

The department or other academic unit will make good faith efforts to acquire the resources to conduct an external search for faculty with administrative duties in a department or other academic unit. Applications from qualified faculty of the University will be considered.

The dean or vice president and [search and](#) screening committee are responsible to ~~insure~~ [ensure](#) that all university regulations pertaining to affirmative action and equal employment opportunity are adhered to throughout the appointment process.

5.1 External Search Procedures

(1) The faculty of departments and other academic units, in conjunction with the dean or vice president, shall determine the need for and general parameters of faculty appointments with administrative duties in a department or other academic unit congruent with their mission and role.

(2) The dean or vice president shall obtain authorization from the Provost to establish or fill a faculty appointment with departmental administrative duties.

(3) The dean or vice president shall appoint a [search and](#) screening committee of not less than five members. A majority, and, where possible five members, must be appointed from among the faculty of the department or other academic unit. See policies 401.5.3(4)

and 6.3(2) for limitations on appointments of faculty to serve on [search and](#) screening committees.

(4) In consultation with the dean or vice president and the faculty of the academic unit, the [search and](#) screening committee shall prepare the job description and advertising in accord with university regulations.

(5) The [search and](#) screening committee shall screen applicants according to the job description and identify a suitable pool of candidates, those to be further considered by the faculty and [pertinent](#) administrators. Where feasible, at least three candidates shall be identified.

Comment [C23]: Level II: What is a pertinent administrator?

(6) Candidates shall be invited to come to the campus (and/or site of employment) at university expense for personal interviews, to give lectures, and/or participate in departmental seminars and other appropriate campus activities in order that the candidates shall become better known and evaluated, and to assure that they become acquainted with the institution and the locality of their prospective work and domicile.

(7) Before an offer can be made to a candidate, the candidate shall have been interviewed on the campus (and/or site of employment) by the academic unit's faculty and pertinent administrators.

(8) When the investigation of candidates has been completed, the [search and](#) screening committee shall solicit recommendations from faculty and pertinent administrators. Utilizing these recommendations and their own knowledge of the candidates, the [search and](#) screening committee shall present a list of acceptable candidates to the dean or vice president listed in alphabetical order without any indication of ranking or preference, unless otherwise mutually agreed between the dean or vice president and the [search and](#) screening committee.

(9) The dean or vice president shall forward a recommendation from the list of acceptable candidates recommended by the [search and](#) screening committee, including all supporting information, to the Provost.

(10) If the Provost is in agreement, the Provost, as the President's designee, shall recommend the appointment of the candidate to the Board of Trustees.

(11) Tentative offers can be made to a prospective appointee only with the approval of the Provost.

(12) Appointments to the faculty of the University are subject to the approval of the Board of Trustees.

(13) The tenure of core faculty with administrative duties is held in the appointing department; the tenure of the library or extension faculty with administrative duties is held in the appointing academic unit.

5.2 Internal Search Procedures

The procedures for an internal search are identical to the procedures for an external search, with the following differences:

(1) The authorization in policy 404.5.1(2) shall be to establish or fill a faculty appointment with administrative duties in a department or other academic unit from among the department's or other academic unit's faculty.

(2) The job description shall not be advertised, but shall be circulated internally to the department's or other academic unit's faculty. The job description will include the requirement that the appointee be tenured in the department or other academic unit. Interested faculty will submit applications to the [search and](#) screening committee.

Comment [C24]: Level II: Check HR policies. On HR website?

5.3 Appointment of Faculty with Assistant or Associate Departmental Administrative Duties in a Department or Other Academic Unit

Assistants or associates to these positions (for example, department heads) are appointments of the administrator in charge, subsequent to consultation with the faculty.

Comment [C25]: Level II: Should this happen?

404.6 APPOINTMENT PROCEDURES: FACULTY WITH ADMINISTRATIVE DUTIES OUTSIDE A DEPARTMENT OR OTHER ACADEMIC UNIT

Comment [C26]: Level II: What about USTAR?

The college, academic unit, or University will make good faith efforts to acquire the resources to conduct an external search for administrators who require faculty status. Applications from qualified faculty of the University will be considered.

The President, or designee, and the [search and](#) screening committee are responsible to ~~insure~~ ensure that all university regulations pertaining to affirmative action and equal opportunity are adhered to throughout the appointment process.

6.1 External Search Procedures

(1) When a vacancy occurs the President shall appoint a representative [search and](#) screening committee and chair following consultations with the President of the Faculty Senate, administrators, appropriate faculty, and affected staff. The committee shall be structured to represent the interest of the faculty at large in conducting searches for vice presidents and for the Provost, and to represent a college's or academic unit's faculty when conducting searches for deans.

(2) As its first order of business, the [search and](#) screening committee shall refine the current description of the position, and if necessary, prepare an appropriate description. The announcement shall be reviewed with the Provost and President before its publication. The position announcement shall be published [University](#)

Comment [C27]: Level III: What does this mean? Sentence needs to be completed.

(3) Through the steps listed below, the committee shall reduce the list of applicants to three or more acceptable finalists, where feasible, who can be recommended to the President.

(a) The committee shall evaluate all applications using the position announcement as the initial criterion for eliminating unqualified applicants.

(b) The committee shall reduce the number of qualified applicants to manageable proportions.

(c) Each committee member shall evaluate the remaining applications and should participate in deliberation of their relative merits. Any conclusions the committee may arrive at concerning the relative merits of the finalists should not be withheld from the President.

(4) When the final list of candidates has been reviewed with the President, the names of the finalists will be announced to the university community along with a series of interview dates when the candidates will be able to visit the campus for interaction with concerned faculty and staff.

(5) The President shall evaluate input from the committee, administrators, faculty, and staff in making a selection from the list of final candidates recommended by the committee. The committee shall be informed of the President's selection.

(6) The President shall recommend to the Board of Trustees the appointment of the selected candidate.

(7) In cases where faculty status is to be sought for an individual who functions primarily as an administrator, the faculty in the academic department or unit in which the faculty status is sought shall decide whether and at what level to grant such status within the provisions of this policy (policy 405).

(8) Administrative appointments that require faculty status are subject to the approval of the Board of Trustees.

(9) When applicants for administrative appointments that require faculty status seek tenure, any such tenure must be held within an academic department or other academic unit.

6.2 Internal Search Procedures

While every effort will be made to conduct external searches for appointments at this level of administration, this policy is included for those occasions when an internal search is considered appropriate.

The procedures for an internal search are identical to the procedures for an external search, with the following differences:

(1) At the time the President appoints a representative search and screening committee, the President shall communicate the reasons that an internal search is being conducted.

(2) The position shall be advertised in such campus media as to be most likely to reach qualified persons who may have an interest in such a position.

Comment [C28]: Level II: HR site