

Part II

APPOINTMENT AND TENURE



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Chapter 1

Academic Titles at Vanderbilt

Section A

TITLES OF TENURED FACULTY

The titles University Distinguished Professor, Distinguished Professor, University Professor, Professor, and Associate Professor (except in the Blair School of Music) signify tenured positions at Vanderbilt, if so specified at the time of appointment. Except for University Distinguished Professor and University Professor, these faculty titles carry a major field or departmental designator, such as Professor of Linguistics or Professor of Pharmacology. Such designators indicate the major field of work; they may be the name of the department to which the faculty member is attached or a major specialty area associated with the department. At the time of appointment, the faculty member and the Dean of the school recommend an appropriate designator, and the recommendation is reviewed by the Provost or the Vice Chancellor for Health Affairs, the Chancellor, and the Board of Trust (for new appointments to a tenured position). Care is taken to avoid titles that might be confused with the areas of study represented in other departments.

Named, Centennial, Chancellor's, University, Distinguished, and Cornelius Vanderbilt Professorships

Certain professorships are named by the Board of Trust for a benefactor, such as Kenan Professor of English, or for someone important in Vanderbilt history, such as Landon C. Garland Professor of Physics. Centennial Professorships were created during the Centennial Campaign (1977–81), and Chancellor's Professorships were created during the Campaign for Vanderbilt (1990–95). Both of these professorships are similar to named chairs in that they are held by faculty members of distinction in their disciplines. Cornelius Vanderbilt Professorships were added in 2002 to recognize outstanding full professors already at Vanderbilt.

For purposes of retention or recruitment, and in recognition of accomplishment or contribution beyond the normal expectations for the rank of Professor, the title of Named, Centennial, Chancellor's, University, Distinguished, or Cornelius Vanderbilt Professor may be conferred on a faculty member. Normally this is done upon the recommendation of the tenured and tenure-track faculty of the appropriate department or school. Typically, this is done for faculty who hold the rank of Professor.

University Distinguished Professor

The title University Distinguished Professor is available to those exceptional scholars and teachers who are appointed as Distinguished Professors and whose work extends beyond traditional academic fields and disciplinary lines. University Distinguished Professors will be selected for their record of extraordinary accomplishment in research and teaching and their promise for continued contributions. They will be persons of demonstrated intellectual leadership whose broad vision and scholarly interests are likely to bring together diverse segments of the University in both research and teaching. University Distinguished Professors are therefore expected to work with and tangibly influence the faculty and students of the broader University community rather than primarily those of one school.

Unlike the normal procedure in which a faculty member holds a primary appointment in one school, University Distinguished Professors will hold primary appointments in at least two schools of the University such that the person will have a full-status appointment in each. However, tenure will usually be held in only one school. The Dean of this school will be responsible for normal administrative matters involving the University Distinguished Professor, including salary recommendations. In the execution of these responsibilities, the Dean will consult with the Deans of other schools in which the University Distinguished Professor has an appointment. Appointment as Distinguished University Professor requires a majority recommendation by the tenured and tenure-track faculty of the sponsoring departments or schools (or, in the School of Medicine, the Executive Faculty) and the Deans of the sponsoring schools.

It is assumed that University Distinguished Professors will participate in the teaching, research, and service missions of each school in which they have a primary appointment. Courses taught by University Distinguished Professors normally will be cross-listed in multiple departments or schools, since they will be of interest to large segments of the University community. Upon receipt of a recommendation for appointment of an individual as a University Distinguished Professor, the Provost or Vice Chancellor for Health Affairs may consult with other Distinguished and University Distinguished Professors before making a final determination on the recommendation. If the recommendation is approved by the Provost or Vice Chancellor, it is forwarded to the Chancellor (and the Board of Trust for new appointments to a tenured position) for concurrence and final action.

A University Distinguished Professorship will normally be associated with an endowed chair.

Distinguished Professor of _____

The University has appointed several extraordinary scholars as Distinguished Professor. The title is equal to University Distinguished Professor and reflects both the distinction of the scholar and the contribution in his or her

professional area in the University. Appointment as Distinguished Professor requires a majority recommendation by the tenured and tenure-track faculty of the sponsoring department and school (or, in the School of Medicine, the Executive Faculty) and the Dean of the sponsoring school. Prior to advancing the recommendation of a candidate for the title of Distinguished Professor, the Provost or Vice Chancellor for Health Affairs may consult with current Distinguished Professors on the credentials and qualifications of the candidate.

University Professor

The title University Professor is similar to that of University Distinguished Professor, except that the requirements for scholarly distinction are less stringent for University Professor. With respect to other features, such as breadth of contributions, appointments in more than one school, and procedural matters, both titles have identical expectations.

Professor of _____

Associate Professor of _____

Professors and Associate Professors, except in the Blair School of Music, hold academic tenure, if so specified at the time of appointment to that rank. In the Law School, individuals may be promoted from Assistant Professor to Associate Professor without tenure and may later be awarded tenure while remaining at the Associate Professor rank. Individual schools in some cases offer appointments of Associate Professor and Professor without tenure. The professional standards for tenure appointments and conditions of dismissal for cause are discussed in Part II, Chapter 3.

Section B

TITLES OF NON-TENURED FACULTY

Assistant Professor of _____

Instructor in _____

The titles Assistant Professor and Instructor are term appointments and do not imply tenure. For tenure-track faculty, full-time service in these two ranks is counted in the probationary period leading to mandatory action by the University either promoting the individuals to tenure rank or notifying them that they will not be promoted. Assistant Professors may be appointed for a term of not more than three years at a time. Instructors are appointed from year to year. Procedures for renewal and termination are outlined in Chapters 2 and 3.

In recognition of benefactors who provide endowment to support a non-tenured position, a name designated by the benefactor and the University may

be associated with the title. An example would be Mellon Assistant Professor of English.

Titles in the Blair School of Music

Senior Collegiate Faculty

Professor of _____

Associate Professor of _____

Junior Collegiate Faculty

Assistant Professor of _____

Instructor in _____

These titles are completed with a specialty designator such as Professor of Piano. Persons holding these ranks are afforded the same rights and privileges as for tenured or tenure-track faculty in other Vanderbilt schools, except that in Blair these are non-tenured, non-tenure-track appointments.

Senior collegiate Blair faculty members normally hold five-year renewable contracts. Junior collegiate Blair faculty members are governed by the normal University standards in that Assistant Professors may be appointed for a term of not more than three years at a time, and Instructors are appointed from year to year. In the Blair School of Music, full-time service in the ranks of Assistant Professor and Instructor is counted in the period leading to senior status.

Pre-Collegiate Faculty

Artist Teacher of _____

Senior Artist Teacher of _____

These titles are completed with a specialty, such as Artist Teacher of Suzuki Violin or Senior Artist Teacher of Piano. They are held by faculty members who are based primarily in the pre-collegiate program.

All are term appointments. An Artist Teacher is appointed for a term of not more than two years; a Senior Artist Teacher is appointed for a term of not more than three years.

Lecturer in _____

Senior Lecturer in _____

The titles Lecturer and Senior Lecturer designate teaching appointments that are not within the normal promotion sequence from Instructor to Professor. Lecturers may be part time or full time and are appointed for terms of no more than one year. Senior Lecturers may hold part-time or full-time teaching positions and may be appointed for terms of no more than three years. Further

differences between the two categories may be stipulated by a school with the approval of the Chancellor.

Research Associate in _____

Senior Research Associate in _____

The titles Research Associate and Senior Research Associate designate research appointments outside the normal promotion sequence from Instructor to Professor. Research Associates may be part time or full time and are appointed for terms of no more than one year. Senior Research Associates hold full-time research positions and may be appointed for terms of no more than three years.

In the schools of Medicine and Nursing, Research Associates and Senior Research Associates are not members of the faculty unless designated as such in the letter of appointment.

In the Vanderbilt Institute for Public Policy Studies, these titles are used with a designation identifying the association, e.g., Research Associate in VIPPS.

Professor of the Practice of _____

Associate Professor of the Practice of _____

Assistant Professor of the Practice of _____

Instructor in the Practice of _____

The title Professor of the Practice of _____ designates full-time teaching positions that do not involve tenure. Ordinarily these positions are reserved for persons whose responsibility consists of instruction in professional practice activities and do not involve participation in faculty governance of the school. Professors of the Practice of _____ may be appointed for terms of not more than three years. Instructors in the Practice of _____ are appointed for terms not to exceed one year.

Prefixes: Adjunct, Clinical, Visiting, Research, and Adjoint

Adjunct Professor of _____

Adjunct Associate Professor of _____

Adjunct Assistant Professor of _____

Adjunct Instructor in _____

The title Adjunct Professor with a designation of the school or department in which this title would be used (such as Adjunct Professor of Law) is available to all schools and is limited to part-time faculty members who normally are practitioners in one of the professions. The title is appropriate also for part-time faculty members whose main base is another institution in the Nashville area.

Clinical Professor of _____

Associate Clinical Professor of _____

Assistant Clinical Professor of _____

Clinical Instructor in _____

The prefix **Clinical** designates faculty members who actively practice their professions together with students for teaching purposes.

In the Medical Center, a faculty appointment is required of all health professionals who have clinical privileges. There, the prefix **Clinical** designates a practicing health professional who has responsibilities in teaching, research, or patient care.

Professor of Clinical _____

Associate Professor of Clinical _____

Assistant Professor of Clinical _____

Instructor in Clinical _____

The title Professor of Clinical _____ designates a faculty member in the Medical Center who has responsibilities for patient care, but very limited or no responsibilities in teaching or research.

Visiting Professor of _____

Visiting Associate Professor of _____

Visiting Assistant Professor of _____

Visiting Instructor in _____

The prefix **Visiting** designates faculty members who normally are based at other institutions of higher education and who temporarily transfer their main base to Vanderbilt. The titles are applicable for full-time or part-time service at Vanderbilt.

Research Professor of _____

Research Associate Professor of _____

Research Assistant Professor of _____

Research Instructor in _____

The prefix **Research** applies to a person who is appointed to participate in a time-limited research program. Such persons usually do not have teaching assignments.

Adjoint Professor of _____

Adjoint Associate Professor of _____

Adjoint Assistant Professor of _____

Adjoint Instructor in _____

The prefix **Adjoint** designates a person who is based at another institution and who contributes to the mission of a school at Vanderbilt. Such persons usually do not have teaching assignments.

Special Titles in the Schools of Medicine and Nursing

Assistant in _____

Associate in _____

Senior Associate in _____

These titles are completed with the names of the department to which the persons are appointed, such as Assistant in Pediatrics or Associate in Ophthalmology. They are held by persons whose disciplines are not represented in the organization of departments of the schools of Medicine and Nursing but who participate in service and teaching or clinical research in a particular department. For example, a person with a degree in social work might be an Assistant in Pediatrics.

All are term appointments. An Assistant in _____ is appointed for one year; the title is generally equivalent to that of an Instructor, with parallel requirements and benefits. An Associate in _____ or Senior Associate in _____ is appointed for a term of not more than three years; the titles are generally equivalent to that of an Assistant Professor, with parallel requirements and benefits.

Reserve Officers Training Corps Titles

The commanding officers of the Army ROTC and Naval ROTC programs hold the formal titles Director of the Army Officer Education Program and Director of the Naval Officer Education Program, and often the informal titles of Professor of Military Science and Professor of Naval Science. Other teaching personnel in these programs hold the title of Military Instructor, Naval Instructor, or Marine Instructor. The Directors and all Instructors in the two programs have all of the privileges of non-tenured faculty members. Appointment and dismissal procedures are set by the Provost with the advice of the Officer Education Advisory Committee, generally following normal University procedures.

Section C

FACULTY IN RESIDENCE

The suffix **in Residence** is preceded by the creative specialty in which the faculty member is engaged: e.g., Artist in Residence, Composer in Residence, Writer in Residence. The purpose of in-residence appointments is to emphasize performance or creative work to the benefit and enhancement of the broad educational goals of the University.

An in-residence appointment may be a tenured or a term appointment. In-residence appointments normally are without tenure and do not lead to tenure. Where tenured or tenure-track appointments are intended, the appointment letter will so state. If the appointment is not full time, the letter of appointment will make clear whether the conditions of full-status partial-load appointments apply.

In-residence faculty members are subject to University regulations and procedures in the *Faculty Manual*, except that criteria for promotion, where applicable, may be adjusted to the creative activity involved and to the faculty member's assigned duties. In accordance with their specialized knowledge or skills, it is expected that in-residence faculty members will give public performances (recitals, lectures, readings, exhibits, etc.). While the primary responsibility of in-residence faculty members will be the public sharing of their craft, means may be devised to allow them to teach in other ways as well.

Section D

EMERITUS AND EMERITA

A tenured faculty member who has served the University with distinction over a period of years and who remains upon active status until retirement may, upon the recommendation of the appropriate Dean, the Provost or Vice Chancellor for Health Affairs, and the Chancellor, be awarded the title of emeritus or emerita by action of the Board of Trust. The title normally follows the regular title, e.g., Professor of Chemistry, Emeritus. In rare cases, emeritus or emerita status may be granted for a faculty member or administrative officer who does not hold a tenured faculty rank.

Section E

MULTIPLE TITLES AT VANDERBILT

A Vanderbilt faculty member with more than one appointment in the University is listed in the *Registry* and in the school catalogs with all official titles and always in the same sequence: primary title first, secondary second, and so on. Multiple appointments that are truly equal are listed in the sequence that the holder prefers. Ordinarily, tenure is held in the department of primary appointment.

Section F

OTHER ACADEMIC TITLES

Faculty Fellow

Senior Faculty Fellow

The titles Faculty Fellow and Senior Faculty Fellow designate faculty members whose primary appointments are in one department/school of the University and who are actively engaged in research funded by grants that come through other programs, e.g., the Vanderbilt Institute for Public Policy Studies, or who are teaching courses as a part of these programs. Ordinarily, the title Faculty Fellow designates non-tenured participants in such programs, while Senior Fellow identifies tenured participants.

Visiting Scholar

Those persons designated Visiting Scholar are visitors to Vanderbilt who have faculty status at other institutions of higher education or are otherwise distinguished, and whose presence on the campus is formally recognized for periods of up to a year in order to use the library, to observe the conduct of a particular course, to consult with a professor or group of faculty members on a matter of common interest, or to pursue some other valid academic purpose. A Visiting Scholar normally does not have formal duties to perform at Vanderbilt and is not a member of the faculty.

A person who wants to be named a Visiting Scholar writes in advance to an individual Professor or Dean of a school at Vanderbilt stating the purposes of the proposed visit, the proposed length of stay, and his or her academic qualifications. The Deans may appoint visiting scholars through formal letters of appointment.

Visiting Scholars are entitled to a variety of perquisites, generally associated with matters of convenience associated with their stay on campus. Graduate students from other universities and local college faculty members not on leave are not ordinarily eligible for designation as Visiting Scholars.

Special Postgraduate Titles in the Schools of Medicine and Nursing

Research Fellow

Clinical Fellow

Fellows are not members of the faculty. The title Research Fellow is held by persons with the Ph.D. or professional doctoral degree who are in a post-graduate training program with primary emphasis on research.

The title Clinical Fellow is given to persons in the schools of Medicine and Nursing who are engaged in studies and clinical experience, including the care of patients, beyond graduate training in a specified field of clinical education.

Clinical Fellows are appointed on an annual basis by a department in the school; the appointment must be approved by the chair of the department and the Dean. Ordinarily, the Clinical Fellow will have completed one or more years of initial training and education in one of the residency-designated specialties or graduate specialties. The title Clinical Fellow also can be given to persons with master's degrees in the School of Nursing who are engaged in specific areas of clinical study. Such appointments must be approved by the department chair and the Dean.

Student Titles in the Graduate School

Fellow

Trainee

These titles signify that the graduate student holds a service-free award, with no specific duties assigned other than those required for all students. The Fellow holds a University Fellowship, which is awarded to an individual to support specific training that will enhance his or her competence in a particular area. The Trainee holds an award made to individuals from training grants and National Research Service Awards at either the predoctoral or postdoctoral level of study.

Graduate Teaching Assistant

Graduate Teaching Scholar

Graduate Research Assistant

These titles signify a form of employment with payment for duties performed. The Graduate Teaching Assistant holds an assistantship related to teaching but without primary responsibility for instruction and grading. The Graduate Teaching Scholar, who holds a Graduate Teaching Scholarship, is an assistant who has overall responsibility for instruction in a course or courses, including the assignment of grades. The Graduate Research Assistant holds an assistantship with required duties in research. The full title, Graduate Research Assistant, should be used to distinguish the position from the staff classification of Research Assistant.

Chapter 2

General Principles, Rules, and Procedures for Appointment, Reappointment, and Termination

This chapter summarizes the general principles, rules, and procedures for appointment to faculty positions at Vanderbilt. The full range of positions defined is provided in Chapter 1, Academic Titles at Vanderbilt. Positions may carry academic tenure (“tenure appointments”) or may exist only for a specified period of time (“term appointments” or “non-tenure appointments”). Term appointments may be on the tenure track, i.e., they offer the possibility of tenure, or not on the tenure track, in which case they do not offer the possibility of tenure. Subject to the approval of the Provost or the Vice-Chancellor for Health Affairs, each school publishes additional policies and procedures relating to appointment, reappointment, promotion, and tenure. These additional policies and procedures are available from the Deans of the schools.

Section A

EQUAL OPPORTUNITY

Vanderbilt is an Equal Opportunity Employer; therefore, all employment and hiring practices, including those for filling faculty positions, must be in accordance with relevant federal statutes and in accordance with the Affirmative Action Plan of Vanderbilt University (see Part III, Chapter 2, Section E of the *Faculty Manual*). Deans of the schools and the Opportunity Development Center have detailed information regarding these requirements.

Section B

AUTHORIZATION OF ACADEMIC POSITIONS

Before a formal search to fill a faculty position may begin, authorization in writing must be obtained from the Provost or the Vice Chancellor for Health Affairs and the Dean of the school, except in the School of Medicine where department chairs have standing authorization subject to the availability of funds and space. A position is not assumed to be authorized in a given department simply because a faculty member from that department has left the University.

Authorizations for faculty positions are terminated (1) when vacated by retirement, resignation, or other reason; and (2) when not filled within the year in which they are budgeted. Positions may be carried over to a new budget year on specific authorization. All position authorizations, including renewals, must be determined in light of school-wide and University-wide priorities. Faculty appointments in the University are made to a school and, where appropriate, to a department.

Section C

WRITTEN TERMS OF APPOINTMENT

The terms and conditions of every appointment to the faculty, including extensions, modifications, and notices incumbent upon either party, are stated in writing, with a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of appointment, including specification of the appropriate kinds of research, scholarship, or creative expression, should be stated in the letter of appointment. The letter of appointment clearly states the term of an appointment and whether it is subject to renewal.

Section D

PROCEDURES FOR INITIAL TERM APPOINTMENTS

In schools organized by departments, all appointments are formally initiated by the department chair in consultation with the Dean, with other members of the department holding tenure rank, and with other department chairs in the case of joint or interdepartmental appointments. In the School of Medicine, all clinical faculty appointments are initiated formally by the department chair in consultation with the Dean. In schools organized in divisions or programs of study, appointments are formally initiated by the Dean in consultation with tenured and other appropriate faculty. The Dean of the Graduate School is consulted if the prospective faculty member will be expected to offer graduate courses.

The recommendation for a new appointment should include information and documentation specified by the Provost or the Vice Chancellor for Health Affairs.

After a proposed term appointment is approved by the Dean, the complete file is sent to the Provost or the Vice Chancellor for Health Affairs for consideration. The Provost or the Vice Chancellor for Health Affairs notifies the Dean of the final action, and the Dean informs the department chair, where applicable, and executes the appointment, after which time announcement of term appointments can be made. Initial appointments to tenure-track positions require the approval of the Chancellor.

Term appointments are for fixed terms of one year (as is typically the case for Instructors), three years (as is typically the case for Assistant Professors), or other periods not to exceed five years.

Section E

STANDARDS AND PROCEDURES FOR THE RENEWAL OF TERM APPOINTMENTS

Certain faculty members holding term appointments are eligible for reappointment or renewal. Up to the time of a decision on tenure, all faculty holding tenure-track appointments are eligible for reappointment. The procedures for renewing a term appointment generally follow those for initial term appointments. Normally, the successful candidate for reappointment will have received a positive recommendation from his or her department or school, as applicable. A positive recommendation of the candidate's Dean is required, as is approval of the Provost or the Vice-Chancellor for Health Affairs. The colleges and schools may adopt more detailed procedures for reappointment with the approval of the Provost or the Vice-Chancellor for Health Affairs.

Tenure-track faculty members should be recommended for reappointment only if their performance provides a reasonable basis on which to project continued progress that could ultimately enable them to qualify for tenure. The evidence needed becomes more weighty with continued time in rank. Some degree of evidence is needed at each renewal period.

Faculty members holding renewable one-year appointments will normally receive written notices of renewal or nonrenewal by March 1, or, in the case of faculty members not on academic-year appointments, at least four months prior to the expiration of the appointment term. For faculty members who have appointments exceeding one year, written notices of renewal or nonrenewal normally will be made thirteen months prior to the expiration of the appointment term, e.g., by June 1 of the penultimate year of an appointment coinciding with the academic year. In certain circumstances, as when an appointment is dependent on the receipt of outside funds, written notification may be delayed until October 15, when a statement of contingencies must be provided, with the expectation of a final decision by December 15 of the final year. Such delayed notification using similar time intervals may also be used for faculty members with appointments that do not coincide with the academic year.

Section F

PROCEDURES FOR NEW APPOINTMENTS WITH TENURE

When a new appointment is made at Vanderbilt that carries with it the concurrent award of tenure, the procedures to be followed are as described in

Chapter 3, Section F, “Standards and Procedures for the Award of Tenure from Outside the University.”

Section G

FULL-STATUS PARTIAL-LOAD APPOINTMENTS

Tenure-track appointments or Blair collegiate faculty appointments may be made for partial-load faculty members, with those members being eligible for promotion through all ranks. Persons with such appointments are designated as having full status with partial load, and the letter of appointment must so state.

These appointments are ordinarily directed toward faculty members who look to the University for their only compensated activity, but whose family commitments or health prevents a full faculty load. They are distinguished from non-tenure-track “part-time” appointments such as lecturer, and from those professorial ranks bearing the prefixes adjunct, clinical, visiting, research, or adjoint, in which the individual ordinarily earns additional compensation apart from University salary. Full-status partial-load appointments must be consistent with the financial and programmatic needs of the individual schools. Partial-load faculty appointments may be reviewed from time to time to determine whether activities of such faculty members outside the University continue to warrant a partial-load appointment.

Professional qualifications expected for partial-load positions are the same as for full-time positions. Appointments and promotions are made in accordance with Chapters 2 and 3, and partial-load faculty members are subject to the provisions of the *Faculty Manual*.

Partial-load faculty members shall commit an agreed percentage of their time to the University, but not less than 50 percent. The letter of appointment specifies the percentage. Partial-load faculty appointments do not imply future full-load appointments; changes from partial to full load (or the reverse) must be approved by the appropriate Dean and the Provost or the Vice Chancellor for Health Affairs.

Procedures and criteria for promotion are the same for partial- as for full-load positions, except that the allowable period for promotion to tenure may be extended to three years beyond the period provided in Chapter 3. Approval by the Dean and by the Provost or the Vice Chancellor for Health Affairs is required.

Full-status partial-load faculty members are eligible for fringe benefits available to full-load members, except that some benefits will be reduced to correspond to the fraction of the load carried by the faculty member. For the retirement plan, the established percentages of contribution are applied to salary. Social Security, group life insurance (University provided and optional), and disability insurance also are based on salary. Health care coverage may continue as for any other active full-time faculty member or the faculty

member may waive the coverage. Full coverage for travel accident insurance, the full discount for athletic tickets, and the tuition benefit are allowed regardless of the percentage of load.

Section H

JOINT APPOINTMENTS

When a faculty member receives a joint appointment in two departments in the same school of the University, the letter of appointment designates the primary department for administrative purposes. The chair of the primary department will receive the cooperation of chairs of other departments in the assignment of work load and other matters affecting the joint nature of the appointment.

When a faculty member receives a joint appointment in two different schools of the University, the letter of appointment designates the primary department or division for administrative purposes, and the chair of that department—or the Dean, in nondepartmental schools—will carry the same responsibility as though all parts of the appointment were in the same school. The cost of employee benefits will generally be prorated between the schools in proportion to each school's share of the faculty member's salary, although this practice is not common for joint appointments to the schools of Medicine and Nursing.

Cooperative arrangements and joint programs between departments, between schools, or between Vanderbilt and another institution do not necessarily require joint appointments.

When a joint appointment is made between Vanderbilt and another institution, the letter of appointment must specify which institution is to become the primary base of the appointment. This base institution will handle all payroll procedures and employee benefits, billing the joint institution as appropriate with the salary division. The employee benefits to be received under such a joint appointment will normally be those of the base institution. An individual with a joint appointment may hold different academic ranks within the schools at Vanderbilt or at different institutions. In all cases of joint appointments, the letter of appointment must specify any arrangements for tenure or term appointments.

Section I

PART-TIME APPOINTMENTS

The procedure for making part-time term appointments is the same as for any other term appointment. Unless otherwise specified, part-time faculty are subject to the same responsibilities (Part III below), disciplinary procedures

(Part IV below), and renewal and termination procedures (Part II, Chapters 2 and 3) as full-time faculty in the same ranks, and they have recourse to the faculty grievance procedures (Part II, Chapter 3, and Part IV below). Part-time members of the faculties not having full status with partial load are non-voting members of the Faculty Assembly (Part I, Chapter 2 below).

Section J

RESEARCH PROFESSORIAL APPOINTMENTS

Research professorial appointments are made for fixed terms, the length of which may depend on the duration of research grants or contracts held by the University. Terms may be renewed without limitation, but no length of service can be expected to lead to automatic tenure. The titles of the research professorships are not to be considered shelters in which tenure decisions on regular faculty can be avoided. Any department may, however, at any time recommend that a person holding a research professorship be appointed to a rank on the normal tenure track of Instructor, Assistant Professor, Associate Professor, and Professor.

Notice of nonrenewal of the appointment will normally be given to the Research Professor at least six months before the end of the appointment. If renewal depends upon obtaining contract or grant funds still in doubt at that time, the notice may be that the University intends not to renew the appointment unless the funds are obtained.

A Research Professor wishing to terminate his or her appointment before the end of the fixed term must give six months' notice. Waiver of notice periods may be negotiated by express consent of both parties.

Section K

RETIREMENT

1. Age of Retirement

There is no mandatory retirement. Issues regarding retirement planning should be addressed to the department chair or Dean.

The Deans of the individual schools in consultation with the Provost or Vice Chancellor may make provision for retirement incentive arrangements for tenured faculty members, including provision for deferred compensation and the continuation of specified fringe benefits.

2. Emeritus and Emerita Status for Faculty

The Dean in consultation with the department chair will recommend to the Provost or the Vice Chancellor for Health Affairs those retiring members of

the faculty to be awarded emeritus or emerita status. The recommendation will be accompanied by a biographical statement of some 200 to 300 words citing the faculty member's contributions to the University and the academic world in teaching, scholarship, and service.

The Provost or the Vice Chancellor for Health Affairs may recommend the award of emeritus or emerita status to the Chancellor, who may recommend action to the Board of Trust. Emeritus or emerita actions generally will be made at the spring meeting of the Board. The action of the Board of Trust is transmitted by the Provost or the Vice Chancellor for Health Affairs to the Dean, who notifies the department chair and the faculty member. No public announcement may be made until after Board of Trust action. Public recognition of emeritus or emerita status is made at Commencement at the end of the academic year.

On occasion, a school may contract with an Emeritus or Emerita Professor to teach as a lecturer a specific course or perform other specific and limited duties.

3. Emeritus or Emerita Status for Administrators

In rare cases, emeritus or emerita status will be awarded to an administrative officer who does not hold faculty rank. The procedure for consideration of such status will, insofar as possible, parallel that for tenured faculty, except that consideration for the award of emeritus or emerita status must start with the recommendation of the Provost or Vice Chancellor for Health Affairs to the Chancellor.

Section L

RESIGNATION

A faculty member may terminate an appointment effective at the end of an academic year, provided that he or she gives notice in writing as early as possible, preferably before March 1. Faculty members not on academic-year appointments should give notice in writing at least four months prior to the date on which they wish their appointment to terminate. Faculty members resigning tenure appointments are expected to give at least six months' notice. Waivers of notice periods may be negotiated by express consent of both parties.

Section M

TERMINATION

Faculty members may be terminated for cause subject to the procedures described in "Disciplinary Actions," Part IV, Chapter 1.

Chapter 3

Principles, Rules, and Procedures for Promotion and the Award of Tenure

Section A

DEFINITION OF ACADEMIC TENURE

“Academic tenure” at Vanderbilt refers to the University's commitment to continue any faculty member appointed as Professor or Associate Professor in that office, unless otherwise specified at the time of appointment, until the faculty member voluntarily terminates the appointment or until retirement or permanent disability, or dismissal for cause. Tenure does not attach to an administrative position. A faculty member holding academic tenure has the right to a hearing, as provided in Part IV, Chapter 1 of the *Faculty Manual*, prior to dismissal for cause.

Section B

THE PROBATIONARY PERIOD

1. Tenure-track appointments provide for a probationary period prior to a decision on tenure. Any faculty member becomes ineligible for tenure if he or she has not been promoted to a tenured position, or offered a special extension of probation (see 4 below), by the end of seven years of accumulated full-time academic service at Vanderbilt or at other comparable institutions (see 3 below). “Full-time academic service” includes both full-status partial-load appointments and academic leaves (full- or part-time, paid or unpaid) as long as these are of a type to facilitate professional growth and achievement. If a faculty member holds a part-time, tenure-track appointment at the request of Vanderbilt, or if such a part-time appointment is necessitated by other nonacademic duties at Vanderbilt or elsewhere, then he or she may accumulate all or part of the seven probationary years in partial increments, on a pro rata basis. Whenever part-time employment justifies a pro rata extension of the probationary period, the contract of employment should specify the exact number of years added to it. The probationary period will not be extended in the absence of such a written statement.

2. Term appointments not on the tenure track do not offer any prospects of eventual tenure. Should a faculty member on such an appointment later shift

to a tenure-track position, these prior years at Vanderbilt will normally count toward the probationary period of seven years, but only to the extent that the non-tenure-track appointment offered opportunities for professional growth and achievement comparable to those enjoyed by tenure-track appointees. In the schools of Medicine and Nursing, individuals in advanced stages of training may be appointed to the faculty at the level of Instructor not on the tenure track, if they are otherwise qualified. If such individuals subsequently are appointed to the rank of Assistant Professor on the tenure track upon completion of training, prior years at the level of Instructor (non-tenure-track) will be excluded from the probationary period to the extent that the individuals were trainees and not independent investigators. Any prior years exempted from the probationary period must be agreed to by the appropriate Dean at the time of the initial tenure-track appointment.

3. Whenever prior service at other institutions has not provided opportunities for professional growth and achievement comparable to those enjoyed by junior faculty at Vanderbilt (e.g., because of higher teaching loads or less research support), then, at the time of the appointment to a tenure-track position at Vanderbilt, the candidate and the Dean must agree on the number of prior years to count toward tenure. Regardless of the number of years of comparable full-time service carried over from other institutions, Vanderbilt retains the option of requiring as many as three probationary years at Vanderbilt before a decision on tenure. Since the exercise of this option may extend the total probationary period beyond seven years, in all such cases the maximum probationary period at Vanderbilt must be clarified in the initial letter of appointment.

4. Various exigencies may retard or temporarily interrupt a faculty member's professional career. This means that certain periods during the probationary period should not count as "full-time service." These exigencies include leave required by ill health, by childbearing or unusual requirements for infant care, or by a serious illness or death of immediate family members. Other special circumstances (e.g., accidental destruction of research material, important clinical or patient care responsibilities, extra teaching assignments) may also retard the development of professional attainments directly related to a favorable tenure decision and thus justify exemptions for one or more periods.

The faculty member and his or her department chair (for faculty members in departments) must at the earliest possible moment present to the Dean a request for such an exemption. The request should outline the amount of time to be exempted from the tenure track. In no case may the total exemptions under this provision exceed two calendar years, and no period exempted shall be less than one semester. Faculty members who give birth during the probationary period are entitled to an automatic one-semester extension of the probationary period, up to a maximum of two extensions. In order to avail herself

of such an extension, a faculty member need only notify her department chair or Dean of her decision, within four months after the birth, on whether she wishes to take the extension.

Extensions of the probationary period must be approved by the department chair (for faculty members in departments), the Dean, and the Provost or the Vice Chancellor for Health Affairs. No request for an extension can be considered once the tenure evaluation has commenced. The Dean will consult with the Provost or the Vice Chancellor for Health Affairs prior to reaching a decision on any request for extension of the probationary period. The standards for an extension of the probationary period are to be applied rigorously such that extensions beyond seven years are granted only in exceptional circumstances. A faculty member who is granted an extension of the probationary period will be judged and evaluated on the same basis and by the same standards as though there had been no extension.

5. A failure by a faculty member on the tenure track to earn tenure normally leads to a termination of employment at Vanderbilt, but Vanderbilt guarantees to members on the tenure track who do not receive tenure the fulfillment of existing multi-year appointments or an additional one-year appointment if the adverse decision on tenure is made during a one-year appointment or during the last year of a multi-year appointment.

Section C

STANDARDS FOR PROMOTION AND THE AWARD OF TENURE

For the award of tenure, Vanderbilt requires (1) excellence in research, scholarship, or creative expression in one's discipline; (2) a high level of effectiveness in teaching; and (3) satisfactory performance in the area of service. From discipline to discipline, the form taken by a candidate's contributions will vary. But, in each case, Vanderbilt expects the level and quality of achievement in these three areas to be equivalent to that required for tenure in leading departments or schools of other major research universities. The three standards are independent; a deficiency in one area cannot be offset because the candidate exceeds the required standard in another.

1. Research, Scholarship, and Creative Expression

Candidates to be considered for tenure are persons who have already achieved and who show promise of continuing to achieve a level of excellence in their contribution to the research, scholarship, or creative expression appropriate to their discipline or profession and as described in their letter of appointment. Indicators of excellence include originality, logical rigor, distinctiveness

of ideas, creativity of expression, independence of thought in identifying projects and framing issues for analysis, advancement of a theoretical viewpoint or a perceptive and balanced criticism of such a viewpoint, and significant and important intellectual impact.

Successful candidates for tenure at Vanderbilt must be active scientists, scholars, critics, or artists. By the time of the tenure review, they must have completed and made available research, scholarship, criticism, or artistic production of such high quality as to gain favorable recognition within their discipline and at a national level. The works may be available through the publication of books and articles, the circulation of manuscripts intended for publication, lectures and presentations, exhibits, or performances. When candidates participate in group research projects, it is their responsibility to provide a means for distinguishing their contributions from those of other members of the group. Both past achievements and future promise, both the quantity and the quality of completed work, determine one's eligibility for tenure.

2. Teaching

Candidates for tenure must accept as career obligations the dissemination of knowledge and the nurturing of a spirit of inquiry. To qualify for tenure, candidates must demonstrate a high overall level of teaching effectiveness, with appropriate weight given to performance in each of the various forms of teaching that are important to the respective programs of their departments or schools.

Command of the subject, clarity in communication, and sensitivity to the needs of students are indispensable assets of effective teachers. Successful candidates for tenure must possess both the skills required to transmit the content of their disciplines and the capacity to motivate an active pursuit of new knowledge or insight. Such skills and capacities spring from the same qualities that lead to successful scholarly inquiry.

3. Service

Faculty members have obligations that go beyond research, scholarship, or creative expression and teaching, particularly in departmental or school activities and University governance. In some disciplines, also of great import is service through University outreach (including patient care and other professional services to the University and the community) and contributions to professional and learned societies. Vanderbilt expects its tenure-track faculty to assume a fair share of such service work and to perform it at least satisfactorily.

4. Specification of Standards and Procedures by Schools

Each school publishes a statement specifying its standards and procedures for the award of tenure and for promotion within the tenured ranks. These

statements should relate the standards and procedures to specific disciplines. Any departure in these specifications from any rule of the *Faculty Manual* must be consistent with the general principles stated herein and be approved by the Provost or the Vice Chancellor for Health Affairs, as appropriate.

At the end of the academic year, the Dean of each school submits to the Provost or to the Vice Chancellor for Health Affairs, as appropriate, a copy of the school's current statement, along with an indication of any proposed revisions. The Provost and the Vice Chancellor for Health Affairs review these statements and inform the schools of any problems prior to the beginning of the next academic year.

A copy of all documents specifying the requirements and procedures for appointment, tenure, and promotion is available in each Dean's office.

Section D

PROCEDURES FOR THE AWARD OF TENURE FROM WITHIN THE UNIVERSITY

As a general rule, no faculty member at Vanderbilt is promoted or awarded tenure without the recommendation of his or her senior colleagues in the department or school. That is, in any department or school, an ordinary prerequisite for tenure and promotion is the candidate's endorsement by a majority of the current faculty who hold a primary appointment at or above the rank for which the candidate is being considered and in the same department or school where the candidate's tenure would be based. These colleagues should be convinced that the candidate has those personal and professional qualities that will contribute positively to the work of the University. While the support of one's senior colleagues is not sufficient for tenure, it is in all cases necessary. In the School of Medicine, such endorsement is provided by the Executive Faculty, and no faculty member is appointed or promoted to the title of Associate Professor or Professor, either tenured or non-tenured, without a positive recommendation from the Executive Faculty. In addition to the involvement of tenured faculty, consideration of appointment to tenure involves (a) the Dean of the school, acting in accordance with the standards and procedures of the school; (b) the appropriate University Promotion and Tenure Review Committee; (c) the Provost or the Vice Chancellor for Health Affairs; (d) the Chancellor; and (e) the Board of Trust. Positive recommendations are ordinarily passed along to the next person or committee. Variations are described below.

1. One Promotion and Tenure Review Committee considers candidates from the schools of Nursing and Medicine and reports to the Vice Chancellor for Health Affairs. Another Promotion and Tenure Review Committee considers candidates from all other schools and reports to the Provost.

1. The Decision by the School²

The process of awarding tenure ordinarily begins with a positive recommendation by a majority of the tenured faculty members of a department or school (that is, by a majority vote of those faculty members who hold tenure in the same department or school where the candidate's tenure would be based). Both positive and negative recommendations are forwarded to the appropriate Dean, ordinarily within ten business days of the decision, along with the promotion file and an explanation of the basis of the decision. In the event of a negative decision, the candidate must be notified in writing of the decision in a timely manner, ordinarily within one business day. The candidate may then submit a statement for inclusion in the file to be transmitted to the Dean. The Dean may (a) accept the negative faculty decision, thereby ending the matter, or (b) return it to the faculty for reconsideration. If the original negative decision is reaffirmed by the faculty, the Dean, if he or she favors tenure, may send a positive recommendation to the appropriate University Promotion and Tenure Review Committee. If this committee acts favorably, its recommendation is sent to the Provost, or, in the School of Nursing, to the Vice Chancellor for Health Affairs. A negative decision under these circumstances by the Promotion and Tenure Review Committee terminates consideration.

A recommendation for tenure transmitted to a Dean by a departmental or school faculty moves forward only with the concurrence of the Dean, except when a department or school appeals a Dean's nonconcurrence. A decision to appeal requires the affirmative vote of at least two-thirds of the department's or school's tenured faculty, must be made within ten business days (not including vacation periods) after receiving a written report from the Dean describing the rationale for the decision, and is directed to the appropriate University Promotion and Tenure Review Committee. Only those faculty members eligible to vote on the original recommendation may participate in the vote on an appeal. The appeals procedures limit the committee's review to documentation included in the personnel file at the time of the Dean's decision.

2. Procedures for Review and Assessment by the Faculty

Except as set forth below, the entire contents of the dossier, including all solicited or unsolicited letters regarding appointment, renewal, promotion, or tenure that will be included in the candidate's file for transmittal to the Dean, must be available for review by the eligible faculty members prior to their

2. The procedures described in this and the following section, "Procedures for Review and Assessment by the Faculty," do not apply to the School of Medicine, whose alternative procedures are published on the School's web site at www.mc.vanderbilt.edu/medschool/html/fac_promo.htm.

vote.³ Only members of the faculty who are eligible to vote will have the opportunity to review the contents of the dossier prior to the vote. Unsolicited letters from faculty members outside the department or school will be included in the dossier only if they are provided to the department chair or Dean for review by the faculty prior to the vote.

By the end of the second business day after the vote, any faculty member eligible to vote may write a letter to the department chair or Dean for inclusion in the dossier expressing his or her views on the deliberations by the faculty. These letters are to be made available to all faculty who are eligible to vote.

The department or school must prepare minutes or a summary of the faculty deliberations which will be appended to the dossier, after first being circulated to the voting members of the faculty. Any faculty member who believes that the minutes or summary does not fairly reflect the deliberations at the meeting may submit a letter to the department chair or Dean before the end of the second working day after distribution of the minutes or summary. All such letters will be made available for review by the faculty eligible to vote and will be included in the dossier.

As the final step in the faculty evaluation process, the department chair or Dean will write a letter of transmittal that reports his or her views of the full range of faculty deliberations.

Except as stated above, no faculty member other than the department chair or Dean may add materials to the dossier for consideration at higher levels of review of the faculty decision.

It is inappropriate for faculty members, including those outside of the department or school, to attempt to influence the deliberations on renewal, promotion, or tenure that come after the vote of the faculty, except to bring an allegation of professional misconduct. “Professional misconduct” means any conduct on the part of a faculty member that might reasonably lead to disciplinary action under Part IV, Chapter 1 (Disciplinary Actions) of the *Faculty Manual*. Persons involved in subsequent levels of review should not accept or consider additional unsolicited documents and should discourage any communications that seek to influence their decisions.

3. The Promotion and Tenure Review Committee

All recommendations are reviewed by one of the two standing University Promotion and Tenure Review Committees. Both committees are appointed by the Chancellor upon the recommendation of the Provost or the Vice Chancellor for Health Affairs, normally from nominations submitted by the Consultative

3. In schools without departments (Divinity, Law, Nursing, Owen Graduate School of Management), the entire eligible school faculty votes on the initial tenure recommendation. In schools with departments, the department chair writes the recommendation of the faculty and submits it either to the Dean or to a school-wide tenure and promotion committee. In schools without departments, the voting faculty submits its recommendation directly to the Dean.

Committee of the Faculty Senate. As with all University-level committees, the Chancellor has ultimate responsibility regarding the membership of the two Promotion and Tenure Review Committees.

The Promotion and Tenure Review Committee reporting to the Provost is composed as follows: one representative from each of the three divisions of the College of Arts and Science; one representative each from the School of Engineering, the Divinity School, Peabody College, the Owen Graduate School of Management, and the Law School; and the Dean of the Graduate School. The Provost designates a member of the committee to serve as chair.

The Promotion and Tenure Review Committee reporting to the Vice Chancellor for Health Affairs is composed of six representatives from the School of Medicine, three representatives from the School of Nursing, and the Dean of the Graduate School. The Vice Chancellor for Health Affairs designates a member of the committee to serve as chair.

Members of both University Promotion and Tenure Review Committees normally serve three-year staggered terms. The committees report all their decisions to the Provost or the Vice Chancellor for Health Affairs and, in the case of a negative decision, to the appropriate Dean.

When tenure is recommended by a Dean, the University Promotion and Tenure Review Committee evaluates the recommendation on the basis of its consistency with University standards and with the statement of standards and procedures required by the school (see Section C, 4 above). Except in unusual cases, review will not consist of a second detailed evaluation of the candidate's qualifications. In unusual cases and in cases presented by appeal, the chair of the Promotion and Tenure Review Committee may appoint an ad hoc committee, composed of faculty members in disciplines related to that of the candidate, to make another evaluation of the candidate's record. In selecting members for an ad hoc committee, the chair of the Promotion and Tenure Review Committee normally will consult the members of the review committee, the Provost or the Vice Chancellor for Health Affairs, and the appropriate Dean and department chair. The ad hoc committee reports its findings to the appropriate University Promotion and Tenure Review Committee.

The award of tenure requires a positive recommendation from the appropriate University Promotion and Tenure Review Committee. A negative recommendation by the Promotion and Tenure Review Committee may be appealed by the Dean to the Provost or the Vice Chancellor for Health Affairs, as appropriate, except where the candidacy has reached the Promotion and Tenure Review Committee by the Dean's overruling a negative departmental or school recommendation. An appeal by the Dean must be made within thirty business days after receipt of the written report of the Promotion and Tenure Review Committee. The final decision should be communicated in writing from the appropriate Dean, the Provost, or the Vice Chancellor for Health Affairs to the faculty member.

Those charged with reviewing a recommendation or an appeal under the foregoing procedures may decide to obtain additional information to supplement

or clarify the candidate's record. If so, this information should relate to the record as it existed at the time of the faculty's recommendation and not to activities or achievements by the candidate occurring after that time. If such information is obtained, the person or committee obtaining it may ask those who considered the matter at some prior step in the review process to reconsider their decision in light of it. If an ad hoc committee of the Promotion and Tenure Review Committee obtains such additional information, that information must be presented to the appropriate Dean and faculty for their reconsideration.

Section E

PROCEDURES FOR PROMOTION TO PROFESSOR

In general, the procedures to be followed for promotion to Professor are the same as those specified above for consideration for the award of tenure. The process ordinarily requires a positive recommendation by a majority of tenured Professors in the department or school. In the School of Medicine, the positive recommendation is from a majority of the tenured Professors on the Executive Faculty in lieu of the recommendation from a majority of the tenured Professors in the department or school. Vanderbilt expects the level and quality of achievement in (1) research, scholarship, or creative expression; (2) teaching; and (3) service to be equivalent to that required of Professors in leading departments and schools of other major research universities. The candidate must have attained national or international recognition among leading scholars in his or her discipline for sustained and excellent research, must have taught the courses requested by the department or school at a consistently high level of effectiveness, and must have demonstrated a well-developed and recognized record of service both to the University and his or her discipline.

In the Law School, the award of tenure is normally accompanied by promotion to the rank of Professor. The standards for promotion are specified by the Law School, with the approval of the Provost, to conform to the expectations for the rank of Professor established at other nationally recognized law schools.

Section F

STANDARDS AND PROCEDURES FOR THE AWARD OF TENURE FROM OUTSIDE THE UNIVERSITY

Candidates for a tenured appointment from outside the University must meet the standards established for such rank as specified in the *Faculty Manual* and the statements prepared by the individual schools.

The information that must be obtained on candidates from outside the University for positions carrying tenure is specified by the Provost or the Vice

Chancellor for Health Affairs. It corresponds insofar as possible to the information assembled on behalf of internal candidates for tenure, although inevitably some of this information is not readily available for external candidates.

The appointment from outside the University normally requires a positive recommendation by a majority of department or school faculty members who hold tenure in the same department or school where the candidate's tenure would be based, acting through the department chair or Dean and concurred with by the Dean. Normally, for appointments at the rank of Professor, a positive recommendation by a majority of the department or school's tenured Professors is required as well. In the School of Medicine, appointments to tenured rank from outside the University will be made with approval of a majority of the Executive Faculty in lieu of approval by a majority of tenured department or school faculty.

The department chair or Dean normally will arrange for each candidate to visit the campus for interviews with members of the department or school, the Dean, and the Provost or the Vice Chancellor for Health Affairs. Other University officers may be involved in special appointments. The campus visit may be omitted in certain cases.

After the proposed appointment is approved by the Dean, the complete file is sent to the Provost or the Vice Chancellor for Health Affairs for consideration. The Provost or the Vice Chancellor for Health Affairs recommends tenured appointments to the Chancellor and the Board of Trust. Tenured appointments from outside the University are not reviewed by the Promotion and Tenure Review Committee.

The action of the Board of Trust is transmitted by the Provost or the Vice Chancellor for Health Affairs to the Dean. The Dean notifies the department chair and the candidate. No announcement of a proposed tenure appointment is made until the Board has acted and the candidate has been informed.

Section G

GRIEVANCES ARISING FROM REAPPOINTMENT, TENURE, AND PROMOTION DECISIONS

A grievance alleging that the University breached an obligation owed to the faculty member in regard to a decision on his or her reappointment, tenure, or promotion shall be filed using the process set forth in Part IV, Chapter 2 below.