

OFFICE OF THE PROVOST

YALE UNIVERSITY

To: Chairs of Departments and Programs in the Faculty of Arts and Sciences

From: Alison F. Richard

Date: November 20, 2000

Re: Procedures for Faculty Searches, Appointments, Leaves, and Terminations in the Faculty of Arts and Sciences for 2000-01

I enclose two copies of the annual procedures memorandum designed to guide you in conducting searches; in making appointments, reappointments, and promotions; and in processing leaves and terminations. I also am sending two copies to the assistant in your department who is responsible for the appointments process and materials. One of those copies is single-sided and unstapled. Please ask your assistant to make and distribute copies of the memorandum to the nontenured faculty members of your department who are nearing reviews for reappointment or promotion. Copies should also be made available to any other faculty member who wishes to understand the appointments process better. These procedures constitute the mechanism by which the quality and fairness of Yale's faculty appointments are guaranteed. The memorandum does not attempt to restate the fundamental policies governing the standards for appointments to each rank, the eligibility for leaves, or the conditions under which terminations occur. For the policies that lie behind these procedures, the Faculty Handbook is the source to consult.

This year I would call your attention to several recent and important changes:

- 1) Remember that the old, multi-copy Personnel Profile Form has been replaced by two forms. The first of these, the Faculty Appointment Form, must be submitted at the time of initial appointment and again each time there is a change in a faculty member's status, including reappointments, promotions, and leaves of absence. The second, the Faculty Data Collection Form, must be completed only once, at the time an individual is first appointed to the faculty.
- 2) We have tried to be clearer and more specific about the materials required by the Provost's office or the appointments committees for various kinds of appointments and promotions. Last year, we added some important requirements for supporting the appointment of one-semester and one-year lecturers, lectors, and visiting faculty, whether they are part- or full-time appointments. These can be found on page 8. The most important change we made last year is the requirement that, except for visiting professors of any rank, all one-year teaching appointments must be accompanied by

two letters of recommendation and appropriate commentary on the quality of the individual's teaching.

- 3) Beginning last year, we returned to the practice of asking chairs to send requests for leaves of absence to the Provost's Office instead of to the Deans of Yale College or the Graduate School. This has proved a more efficient way to handle these requests.
- 4) Let me again call your attention to the section on hiring citizens of other countries (p.11). The regulations of the Internal Revenue and Immigration and Naturalization Services are complicated and strictly enforced. This has recently become an issue not only in the appointment of regular and visiting faculty, but in the payment of expenses and even honoraria to short-term visitors and speakers.
- 5) **Most important, we have changed significantly the procedures for making one-year non-ladder appointments of lecturers, lecturers, and adjunct, visiting, and research faculty. In the recent past, these appointments have gone either to one of the deans or to the Term Appointments Committee. Beginning this year, they will go directly to the Provost's Office, where they will be reviewed and processed by the member of this office responsible for your department. Recommendations for teaching appointments will go to Judith Hackman in Room 130, and recommendations for research appointments will go to Pierre Hohenberg in Room 133. The deans will review these actions before forwarding the recommendations to the Joint Boards of Permanent Officers and the Corporation as appropriate. This will in no way alter the standards of the appointments. It is hoped that it will make the chairs' tasks easier and provide a closer review of the appointments than can be done by the Term Appointments Committee. These new procedures are described on pages 8 through 10 of this memorandum and are outlined on Chart V on page 14.**

For authorization of all ladder faculty searches, you should continue to bring requests directly to the dean who takes responsibility for your department. The dean will discuss the request and resources for the position with the appropriate members of the Provost's Office and initiate the next step accordingly. For some replacements of nontenured faculty, the dean may be able to authorize a search immediately. For most, the dean will bring the requests to the FAS Steering Committee for review. For all tenure positions the dean will bring the request to the FAS Steering Committee, which will normally seek the advice of the appropriate divisional advisory committee before making a decision. In cases where a position crosses divisional boundaries or might result in a significant shift in the department's field coverage or the teaching programs, the Steering Committee may also forward the request to the Expanded Executive Committee (the President, the Provost, the deans and the four divisional directors) for its review.

I remind you that the deans divide the responsibilities for FAS departments as follows: Dean Brodhead will receive requests from all humanities departments and from African-

American Studies, Economics, Political Science, Sociology, and Women's and Gender Studies. Dean Hockfield will receive requests from all departments in the biological and physical sciences and engineering and from Anthropology, Linguistics, Psychology, and Statistics. In 2000-01, Dean Hockfield will chair the Term Appointments Committee and the Tenure Committee in the Biological Sciences. Dean Brodhead will chair the Tenure Appointments Committees in the Humanities, the Social Sciences, and the Physical Sciences and Engineering.

These procedures exist to ensure that every faculty search results in the best possible appointment and that collectively we make use of every opportunity to consider the appointment of women and members of minority groups to our faculty. The surest way for us to meet these objectives and to treat members of our own nontenured faculty in a fair and supportive manner is for departments to remain alert to promising candidates both outside and inside the University, including those who are not yet ready for promotion, and to those who are ready for appointment or promotion now. In keeping with our affirmative action goals, it is important to remember that the department must submit a completed search questionnaire to the Office of Equal Opportunity before an offer can be made to a candidate.

I hope that you will take the time to review this memorandum, even if you are not at the moment actually engaged in any of the processes. In addition to providing this memorandum to members of your nontenured faculty, it is very important that you discuss and give a copy to the chairs of all search committees in your department to ensure that those dealing most directly with appointments are familiar with the process.

Enclosure

cc: Departmental Business Managers or Chairs' Assistants
Members of the FAS Steering Committee
Divisional Directors
Donna Blasczyk
Lorie Fontana
Judith Hackman
Fran Holloway
Diane Hovey
Gustav Ranis

PROCEDURES FOR FACULTY SEARCHES, APPOINTMENTS,
LEAVES, AND TERMINATIONS IN THE
FACULTY OF ARTS AND SCIENCES
2000--01

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I. APPOINTMENTS, REAPPOINTMENTS, AND PROMOTIONS

A. New appointments to all ladder ranks and promotions to tenure

1. Budgetary authorization. Authorization of faculty searches is officially made by the Executive Committee of the Faculty of Arts and Sciences (composed of the President, the Provost, and the Deans of Yale College and the Graduate School). In practice, this committee delegates much of the implementation of its policies and decisions to the FAS Steering Committee (composed of the Provost, the deans, and the deputy and associate provosts). In appointments matters the FAS Steering Committee normally seeks and acts upon recommendations from one of the four divisional advisory committees (Humanities, Social Sciences, Physical Sciences and Engineering, and Biological Sciences). Although prior budgetary approval is not required for reappointments and promotions within the nontenure ranks, departments may not automatically fill positions that become vacant in either the tenure or nontenure ranks. The first step in the process of appointing new members of the faculty and in making promotions to tenure of persons currently on term appointments is for the Chair of the department to meet with either the Dean of Yale College or the Dean of the Graduate School, as designated for that department, to discuss the position and seek authorization for the appointment.

Ordinarily, when a tenure position becomes vacant for any reason, the FAS Steering Committee will authorize the department to fill the position at the nontenure level. An additional nontenure slot will be held in the appropriate divisional pool to be available at a later date either to that department or another elsewhere in the division. These slots are thus available to convert a nontenure position into a tenure one or to make a nontenure appointment in an area deemed important for the needs of the division. Questions about these and other matters contained in this memorandum may be addressed to the appropriate dean or to Mr. Hohenberg, Mr. Long, or Mr. Suttle of the Provost's Office, depending upon the department.

Authorizations for appointments to nontenure positions are not automatic. They may in some cases be made by the dean after a consultation with the appropriate deputy, associate, or assistant provost. In most cases, the dean will bring the matter forward to the FAS Steering Committee, which may seek additional advice from a divisional committee. For all tenure appointments the dean will bring the request to the FAS Steering Committee, which will normally ask the appropriate divisional advisory committee to review the request and return a recommendation to the FAS Steering Committee. If a proposed appointment (tenure or nontenure) bears on important interdepartmental issues, either the dean or the divisional committee will consult with appropriate individuals, for example, with the Director of the Yale Center for International and Area Studies. Whenever a proposed tenure appointment raises issues that cross divisional boundaries or whenever a major change of departmental strategy is proposed, the dean may also seek the advice of the FAS Expanded Executive Committee (consisting of the President, the Provost,

the Deans of Yale College and the Graduate School and the four divisional directors). In all cases, following authorization from the FAS Steering Committee, the dean will take the responsibility for guiding proposed appointments through the various steps of the appointment process.

2. Search procedures. After the use of resources and a description of the field have been approved for a new appointment to any of the ladder ranks or for a promotion to tenure, the search procedures described below must be observed. They are based on the principles that positions should be advertised and nominations for them solicited in ways that will ensure appointments of the highest possible quality and that the appointments process will be consistent with the University's goals of open access and affirmative action. Usually a search will include widespread advertisement, such as announcements in appropriate professional journals and newsletters and at professional meetings, as well as contact with relevant departments and schools, either by letter, e-mail or telephone. Departments are expected to take steps to ensure that whenever possible, both the persons contacted for nominations and the candidate pool include women and members of underrepresented minority groups.

The steps involved in a search are described below. Unless prior approval for a modified search (see paragraphs e and f below) is granted by the FAS Steering Committee, all of these steps must be taken before the process of actual appointment may commence. Note that steps b, c, d, and e apply only to searches for tenure appointments.

- a. At the outset of all searches. After the search has been authorized and, in the case of a tenure appointment, the dean has approved the composition of the search committee, the description of the position, and the texts of the advertisement and announcements, the chair of the department should send the following information to Fran Holloway, Director of the Office for Equal Opportunity Programs, before the position is advertised or announced:
 - i. The approved names of the chair and members of the search committee.
 - ii. The texts of approved advertisements and announcements. These should include designation of rank, commencement date, and length of term, subfield, other requirements of the position, including a request for evidence of accomplishment and potential as teacher and scholar, the last day on which applications will be accepted (no sooner than one month after the advertisement appears), and the statement: "Yale is an equal opportunity/affirmative action employer." The texts should be accompanied by the list of persons and publications to which they will be sent.
- b. Letter 1 -- Letter of Inquiry: to solicit nominations for tenure positions. Each search for a tenure position begins with a discussion with the appropriate dean to determine the sequence of letters and other kinds of requests for information

that constitute a valid search. Most searches begin with Letter 1, the Letter of Inquiry, sent to specified experts at the time the position is advertised, that defines the field of the appointment as it has been authorized and requests nominations of candidates, including brief comparative statements about them. A sample of this letter is included as Appendix A of this memorandum. In some cases, the dean may judge that it would be more appropriate for the department to develop a strong short list of potential candidates by other means, e.g., by e-mail or logged telephone conversations with outside experts. The Letter of Inquiry is ordinarily sent to a dozen scholars. In the great majority of cases it would be followed by Letter 2, the Short-list Letter. In rare cases, when the responses to Letter 1 yield a substantial comparison of the potential candidates and a convincing identification of the leading individual(s), with the dean's approval Letter 1 can be immediately followed by Letter 3, the Supplemental Letter.

- c. Letter 2 -- Short-list Letter: to achieve a comparative evaluation of the strengths of leading scholars in the field. After the deadline for applications has passed and the search committee has reviewed the applicants and nominees that have been gathered by means of the Letters of Inquiry or by e-mail and telephone solicitation, the chair of the search committee will propose to the appropriate dean a short list of the most promising candidates and a list of scholars who will be asked to make comparative evaluations of their strengths. That list should be long enough to ensure that from six to eight responses will be available to the Tenure Appointments Committee. The dean should be provided with copies of all letters and e-mail messages received in response to the initial inquiry, any notes taken during telephone solicitation of nominations, a brief statement of the reasons for the selection of the short-list, and a list of the scholars whose comparative evaluations will be sought. Whenever possible, the list of persons receiving this Short-list Letter should include women and members of minority groups.

After the deadline for applications has passed, the dean must approve the short list, the draft of the Short-list Letter, and the names of the scholars to whom the letter will be sent. The department may then solicit evaluations by sending that letter, which presents an alphabetical list of four to eight scholars of the highest caliber, with their present institutional affiliations, and requests a comparison of the scholarship and teaching of these and any other suitable candidates. If the department has identified an internal candidate who merits inclusion in the short-list, that individual should be included in the short-list along with the others. A sample of the Short-list Letter appears as Appendix B of this memorandum. Notice that it suggests an appropriate way to call attention to internal candidates, when any are included.

In cases where the dean has previously approved an alternate method to the Letter of Inquiry (e.g., e-mail and logged telephone consultation) to establish the short list of individuals for comparison, the Short-list Letter can be the first letter

sent to outside scholars. Regardless of its place in the sequence, this letter seeks to gain a clear view of the comparative strengths of the candidates and other individuals identified by the department. Usually this letter will produce sufficiently detailed information about the department's first choice or top choices of candidates to proceed with a recommendation to the Tenure Appointments Committee. When that is not the case, and with the approval of the dean, the Short-list Letter may be followed by Letter 3, the Supplemental Letter.

When appropriate, and with the approval of the dean, the department may ask the same scholar for an evaluation of candidates in more than one stage of the sequence of letters.

- d. Letter 3 -- Supplemental Letter: to seek more detailed evaluation of the strongest candidates for tenure positions. Sometimes, because a candidate has emerged late in the search or for some other reason, the short-list responses on a particular candidate or candidates are insufficiently detailed. In such cases, departments may wish to solicit further written information about specified candidates. Letters requesting this information require prior consultation with and approval by the dean monitoring the search. This letter should include the candidate's C.V. and may include such materials as recent work written by the candidate. N.B.: this letter can be revised to include more than one candidate if the department desires to know which to choose or whether to seek to appoint them in a ranked order.

As mentioned above, Letter 1 (the Letter of Inquiry) may have resulted in a sufficiently substantial comparative evaluation of the leaders in the field for the department to make a convincing case that a particular candidate appears to be the best possible individual for the position. In such cases, and only with the dean's authorization, Letter 3 can be sent out directly after Letter 1. Even when used in this way, Letter 3 is appropriate only at that time in a search when the issue has become whether the absolute quality of the identified candidate meets Yale's goal of appointing individuals of the very highest quality.

A sample Supplemental Letter appears as Appendix C of this memorandum. The texts of all the letters included in the appendices are models only, and revisions may be made for a particular appointment. The dean monitoring the search may approve such modifications, although if the changes are deemed to be substantial, the dean will bring them to the Steering Committee for approval.

- e. Procedure for candidates of special eminence. On occasion, a department may propose for appointment as professor an individual of widely acknowledged preeminence. When the department proposes such a case, the FAS Steering Committee will consult with the divisional advisory committee for confirmation of the candidate's eminence and, if satisfied, approve a foreshortened search procedure which nevertheless tests the recommendation for its consistency with

the standards of appointment and with policies of equal opportunity and affirmative action. Modification of the search procedure for such candidates will typically include a determination that advertisement is not necessary and that letters may solicit comparative evaluation of only the particular candidate rather than an alphabetical listing of a group of candidates under consideration. A sample letter for this purpose appears as Appendix D of this memorandum.

- f. Procedure for positions funded with special resources. Search procedures in either tenure or nontenure appointments may also be modified when the FAS Steering Committee determines that, because of the special nature of the resources made available for the appointment, advertising is not appropriate. There must, however, still be a thorough and comparative canvass of expert opinion of a particular candidate's qualifications. This modified search procedure would be appropriate, for example, when, under University policy, the resources for tenure consideration have been authorized only for a member of a minority group, whether an internal or an external candidate. Letters of evaluation in such cases will typically solicit the referees' judgments of the particular individual in comparison to a list of specified scholars in the field. A sample letter for this purpose appears as Appendix E.

- g. Departmental recommendation. When the department has ranked the candidates, it must prepare the Search Questionnaire (which appears as Appendix H of this memorandum) and deliver it, along with all supporting documents, to the Office for Equal Opportunity Programs. That office will forward the material to the appropriate member of the Provost's Office for approval. N.B.: Submission of these documents should be made two weeks before the proposed appointment is forwarded to the Appointments Committee.

The Search Questionnaire should be accompanied by the following information on the top candidates, including all those whom the department has voted to appoint if the first candidate is unavailable:

- i. Letters of nomination and recommendation. For all appointments, include a copy of the advertisements and, as appropriate, the department's Letter of Inquiry, the list of persons to whom it was sent, and all responses to it. If e-mail responses and documented telephone solicitations were authorized and used, these must be included in the materials. For tenure appointments, include a copy of the Short-list Letter, any Supplemental Letters, a list of persons to whom these were sent, and all responses to those letters.

- ii. A Yale Format Vita and selective list of publications. Follow precisely the format of Appendix J of this memorandum.

Copies of representative publications of the top candidates should be available to the appropriate dean on request.

The data requested in the Search Questionnaire concerning the race and sex composition of the pool of applicants may be secured by the use of pre-printed postcards, available from the Office for Equal Opportunity Programs, which ask each candidate to supply such information anonymously.

After the appropriate member of the Provost's Office or, in the case of tenure appointments, the Provost, has approved the search procedures, the appointments process may proceed.

3. Materials needed for Appointments Committees. Documentation of the candidate's qualifications should be assembled and copied as indicated on Chart IV on page 13 of this memorandum. The details concerning which documents are required, the deadline for their submission, and the committee to which they should be sent are presented in the chart. The Yale Format Vita used in support of departmental recommendations must follow precisely the format given as Appendix J of this memorandum. Be sure to include the evidence on which the department has based its evaluation of the candidate's teaching record. Both the Faculty Data Collection Form and the Faculty Appointment Form must accompany this material. Note that all individuals appointed to ladder ranks are assigned both to Yale College and the Graduate School.
 4. Extending offers of appointment to the ladder ranks (and Gibbs Instructors). Ordinarily no letters of appointment may be sent before the Appointments Committee has approved the recommendation. In special circumstances, and only after the Search Questionnaire has been approved by the Provost's and Equal Opportunity Programs Offices and the appointments process has commenced, the chair may, with the prior approval of the Provost's Office, extend provisional offers in writing. Such letters must include the following elements and the text of the letter must be approved before sending. (Samples of letters for extending offers are included as Appendices J through M of this memorandum.)
 - a. Description of all further steps to be taken in the appointments process before the offer is formal.
 - b. The terms of appointment. Precise title, length of term with exact dates, salary and how it is to be paid, terms and conditions of appointment including set-up funding, benefits as stated in the Faculty Handbook, and exact terms of secondary appointment, if any, in another department or school.
- B. Reappointments to the same rank and promotions within the nontenure and tenure ranks

Reappointments to the same rank and promotions within either the nontenure or the tenure ranks do not require prior budgetary approval. Current policies concerning the

number of reappointments possible to various ranks and the effect of certain kinds of leaves of absence on the length of appointments make the process of reappointment individualized and complex. It is therefore important for chairs to monitor carefully the time at which each nontenured faculty member should be considered for reappointment or promotion, or notified of nonrenewal. (See Section F below for information about the nature and timing of these reviews.)

Some of these policies also affect the permissible total number of years in the nontenure ladder ranks. Note particularly that there may be only one reappointment at the rank of Assistant Professor and that, except for certain kinds of leaves, such as Child Care and Public Service, and events such as short-term disability or childbearing, the maximum time in that rank is seven years. A common pattern is for departments to make initial appointments for four years, with the expectation of one reappointment of up to three, for a maximum of seven. This permits review during the third year of appointment. Chairs should at the outset of all appointments, reappointments, and promotions confirm with the faculty member and notify the Provost's Office of the duration and effect on time in the nontenure ladder ranks of any relevant prior teaching experience. The chair should also discuss with the faculty member the total eligible time in those ranks, particularly as it is affected by promotions, certain leaves, or part-time teaching. (For the regulations concerning maximum time in the nontenure ranks, see Section III.E of the Faculty Handbook.)

Chart IV on page 13 gives the details of the documents necessary to reappoint or promote within the ladder ranks. Recommendations for reappointment at the same rank normally do not require letters of evaluation; recommendations for promotion do. A sample letter that might be used to solicit such evaluations for promotion to associate professor on term can be found as Appendix F of this memorandum. It is not necessary to seek the dean's approval before sending such a letter. The following are some special provisions concerning reappointments or promotions.

1. Chairs must send to all faculty holding term appointments of three years or more written notice of the anticipated end of their current terms of appointment at least one year in advance of the expiration of the term. In cases where the individual has been recommended for reappointment or promotion, this information should be conveyed in a timely manner as well, along with notice that if the recommendation for reappointment or promotion is not approved by the appropriate committee, the appointment will come to an end at the scheduled time. (For those cases in which exceptions may be made, see the Faculty Handbook, Section III.F.)
2. Early in the fall term, chairs must discuss with the appropriate member of the Provost's Office each member of their faculty who should expect during the year to be reviewed for reappointment or promotion. For faculty members whose terms of appointment end in June of the next academic year, these reviews should be completed during the fall term of the penultimate academic year. Following a positive review, the chair will initiate the appropriate reappointment or promotion procedures.

Negative decisions on all candidates for reappointment or promotion within either the nontenure or the tenure ranks should be discussed with the appropriate member of the Provost's Office before notifying the candidate. A copy of the letter notifying the candidate of the negative decision should be sent to the appropriate member of the Provost's Office, accompanied by a brief explanation of the reasons for that decision.

3. Convertible appointments. The initial appointment as lecturer convertible may not exceed one year. If the degree is received during that year, a recommendation by the department for conversion to an assistant professorship for a term of up to five years should be forwarded to the Corporation without further action by the Term Appointments Committee. If the degree is received by October 1, the conversion is retroactive to July 1. If the degree is received after October 1, but before February 1, conversion is effective on January 1. For purposes of this conversion, the dean who chairs the Term Appointments Committee will accept a letter from the candidate's graduate school dean indicating that all degree requirements have been met and that the degree will be awarded at the next opportunity.

If the degree is not received during the initial year as lecturer convertible, the convertible appointment may be extended for a second and final year in that rank by submitting a Faculty Appointment Form and a letter explaining the request to the dean who chairs the Term Appointments Committee. In 2000-2001, Dean Hockfield will chair the Term Appointments Committee. No person who is a candidate for a Ph.D. degree may teach in a convertible appointment at Yale for more than two years without having received the degree.

4. Promotions to associate professor on term. Recommendations for promotion to this rank are forwarded to the Term Appointments Committee. This committee conducts a thorough and rigorous review of the scholarly accomplishment of candidates. Normally at least five letters from outside Yale must be presented to the committee. For other documents and procedures required, see Chart IV on page 13 of this memorandum.
5. Departments must consider individuals for promotion from associate professor with tenure to professor within five years of the initial appointment without term. Beginning with appointments to associate professor without term made in 1997-98, at any time after seven years have elapsed from the date of appointment or promotion to tenure, if the department has not recommended promotion, the Provost, in consultation with the chair, may consider recommending the candidate directly to the Corporation for promotion to professor. Letters of evaluation for promotions to professor should normally be provided from at least four sources outside Yale. A sample letter requesting such an evaluation is included as Appendix G of this memorandum.

6. Notification of pending promotions. Since Term Appointments Committee meetings are scheduled as needed, please notify the Dean who chairs that committee as soon as a promotion to associate professor on term is anticipated.
- C. Appointments and reappointments to the non-ladder teaching ranks (Gibbs Instructor, professor adjunct, associate professor adjunct, assistant professor adjunct, senior lecturer, lecturer, lecturer)
1. Budgetary authority. The first step in making an appointment to the non-ladder ranks is to secure from the appropriate member of the Provost's Office the authority to make such an appointment. The case for such an appointment must be based both on the program needs of the department and the availability of appropriately qualified individuals who might become candidates for the position.
 2. Search procedures. Appointments to these ranks do not require the search procedures developed for appointments to the ladder ranks. Positions should be announced and filled, however, in a way that is consistent with Yale's commitment to the quality of appointments and the recruitment of women and members of minority groups. Positions of more than one year in duration in any of these ranks must be appropriately advertised, and the candidate should be selected from a comparison group. An exception to the requirement for advertising might be appropriate in cases where an adjunct appointment at Yale is coterminous with another appointment at Yale or a related program or entity. Other exceptions may be warranted, but they require explicit authorization from the Provost's Office. For appointments to these ranks, the department is required to complete a brief Applicant Information Form, which is included as Appendix I of this memorandum. This form must be accompanied by both the Faculty Data Collection Form and the Faculty Appointment Form when the individual has accepted an offer.
 3. Appointment procedures for terms of more than one year to the ranks of adjunct, lecturer, and lector and to Gibbs Instructorship. Materials for these are sent to the Term Appointments Committee. The details concerning the documents required for each rank, the number of copies required, the deadline for their submission, and place to which they should be sent are presented on Chart V on page 14 of this memorandum. The Yale Format Vita required in support of departmental recommendations must follow precisely the format given as Appendix J of this memorandum. Please note that appointments and promotions to the ranks of Professor Adjunct and Associate Professor Adjunct require presentation to the committee by the departmental chair.
 4. Appointments procedures for one-semester or one-year appointments to the rank of lector or lecturer. Initial appointments to these positions, whether for full or part time, should be sent to the Provost's Office. The materials required are the Faculty Data Collection Form; the Faculty Appointment Form, and the Yale Format Vita, which indicates the reason for the appointment, the courses to be taught, and

pertinent information about the candidate's academic background and teaching experience; and two letters of reference supporting the candidate's qualifications for the position. When appropriate, e-mail exchanges or the Chair's written record of a telephone conversation may substitute for one or both of these letters of reference. After approval by the Provost's Office, all of these faculty appointments are reviewed by the Dean of Yale College before they are forwarded for approval to the Joint Boards of Permanent Officers.

5. Reappointment procedures for terms of more than one year to the adjunct, lecturer, and lector ranks. Reappointment to these ranks requires submission to the Term Appointments Committee. Include the Faculty Appointment Form, and the Yale Format CV, which indicates the reason for the appointment, the courses to be taught, and pertinent information about the candidate's academic background and teaching experience. The chair must also indicate that the individual has been reviewed and that the department has voted to recommend the reappointment.

D. Appointments of visiting faculty

1. Extending offers of visiting appointments. When a department has received authorization for a visiting appointment from the Provost's Office and has identified the visitor whom it wishes to appoint, the chair should write to the appropriate member of the Provost's Office describing the appointment and the proposed salary. For such temporary appointments, the Provost's Office may request permission from the visitor's home institution for the visitor to teach at Yale. After the salary has been approved by the Provost's Office, the chair may discuss the offer with the candidate.
2. Appointments procedures. Supporting materials for visiting faculty appointments at all ranks are to be sent directly to the Provost's Office. These must include a letter from the chair, along with the Yale Format Vita, which indicates the reason for the appointment, the courses to be taught, and pertinent information about the appropriateness of the visitor to this particular assignment. The details concerning which documents are necessary for making visiting appointments, the number of copies required, and the deadline for their submission are presented in Chart V on page 14. The Yale Format Vita required in support of departmental recommendations must follow precisely the format given as Appendix J of this memorandum. After approval by the Provost's Office, all visiting faculty appointments are reviewed by the cognizant dean before they are forwarded for approval to the Joint Boards of Permanent Officers.

- E. Appointments to the research ranks (senior research scientist or scholar, research scientist or scholar, associate research scientist or scholar, postdoctoral fellow or associate).

1. Search procedures. Appointments to these ranks do not require the search procedures developed for appointments to the ladder ranks. Positions should be announced and made, however, in a way that is consistent with Yale's commitment to the quality of appointments and the recruitment of women and members of minority groups. Positions of more than one year in duration in these ranks should be appropriately posted or advertised. For appointments to these ranks, the department is required to complete a brief Applicant Information Form, which is included as Appendix I of this memorandum. This form must be attached to the Faculty Data Collection Form and the Faculty Appointment Form when the individual has accepted an offer.
 2. Appointments procedures. Materials for appointments to the research ranks are to be sent directly to the Provost's Office. The details concerning the documents necessary for appointments to these ranks, the number of copies required, the deadline for their submission, and the place to which they should be sent are presented in Chart V on page 14. The Yale Format Vita required in support of departmental recommendations must follow precisely the format given as Appendix J of this memorandum. After approval by the Provost's Office, all research faculty appointments are reviewed by the cognizant dean before they are forwarded for approval to the Joint Boards of Permanent Officers.
- F. Reviews of nontenured faculty
1. Informal reviews. It is a department's ongoing responsibility to review thoroughly with each nontenured member of the faculty his or her accomplishments and promise as a member of the profession. Chairs should keep nontenured faculty members informed of the University's and the department's procedures for appointments and promotions, and each year either the chair or a designated member of the tenured faculty should informally discuss with each individual the department's assessment of his or her progress and prospects. This discussion should cover the faculty member's recent work: teaching (including any in interdisciplinary programs), research, and University service.
 2. Formal reviews. A formal review must take place during the penultimate year of each appointment in the nontenure ranks. The individual faculty member should be notified in writing that such a review will take place and be asked to submit all relevant publications or works in progress. The chair should also ask the appropriate chairs of other departments or directors of other programs about the individual's contributions, if any, to extra-departmental programs. The purpose of this review is to provide a clear and accurate assessment of the individual's accomplishments and prospects in the profession. Within the nontenure ranks, this review might result in a recommendation to the Term Appointments Committee for reappointment or promotion.

Although a nontenured member of the faculty cannot expect to be a candidate for tenure at Yale unless there is an authorized tenure vacancy in the relevant field, it is particularly important for the chair to conduct each penultimate year review with thoroughness and care. The penultimate year review of an associate professor on term must not be presented or interpreted as a review "for tenure," though the outcome of such a review might be the department's consideration of whether a tenure position in the candidate's field could be anticipated or authorization for such a position requested. The review itself is an internal one. Except in very unusual circumstances, for example, where the department believes that it lacks the expertise to come to a fair evaluation, letters from scholars outside Yale are not sought in the departmental review. Seeking outside letters at the review stage risks confusing the review with a search process and may have a detrimental effect on such a search if one is later authorized. If the department believes that it cannot conduct the internal review without the assistance of scholars outside the University, the chair should discuss the situation with the dean who would be monitoring the search. The dean must approve any use of outside letters in connection with an internal review.

The chair must, in writing, apprise the individual of the outcome of the formal review as early as possible and in any case prior to the end of the penultimate year. If the outcome of the review is positive -- a recommendation for reappointment or promotion -- the chair's letter should indicate the further steps that are necessary and the probable time that those steps will take. Unless the reappointment or promotion is certain to take place during the penultimate year of appointment, it is important to remind the individual that the department's recommendation must be approved at each of the remaining steps before a new appointment can be assured, and that failing such approval, the current term of appointment will end as scheduled.

If the review is negative, the Chair must discuss that outcome with the appropriate member of the Provost's Office before conveying the decision to the candidate. The Chair must then, in writing, indicate the department's decision and remind the individual that his or her current appointment will end at the appointed date. The appropriate member of the Provost's Office must review that letter before it is sent to the candidate.

G. Hiring citizens of other countries

The Office of International Students and Scholars (OIS&S), located at 246 Church Street, Ext. 2-2305, must be notified as early as possible when the department is contemplating the appointment of a foreign national to a faculty or postdoctoral position. (It is very rare that immigration sponsorship can be accorded for a staff position.) Strict Federal regulations govern the timing of applications, the types of positions that may be offered, and in some cases the numbers of visas available. Failure to act in a timely

manner may result in the inability to make the appointment. Also, bear in mind that even potential employees who are already in the United States may lack the appropriate visa status to start employment immediately, and in certain circumstances may not be employable at all. The University's ability to correct these problems is limited by Federal laws and regulations. Even outside of regular hiring procedures, Federal regulations restrict our ability to pay and in some cases to reimburse foreign nationals, even those who come to Yale for very brief periods. It is important to consult with OIS&S prior to making a commitment to reimburse expenses or to pay honoraria. Some visa classifications strictly preclude one or both of these. Remember that no outside attorney is authorized to represent the University in immigration matters or to file any immigration documents or cases with respect to work or study at Yale. Please refer to the relevant section of the Faculty Handbook or call the OIS&S for further information. More information is also available at this website:
<www.oiss.yale.edu/department/oissrole.htm>

II. LEAVES OF ABSENCE

For eligibility for leave, please consult Section VIII of the Faculty Handbook, where Yale's leave policies are described in detail. Chairs are asked to submit requests for leaves of absence in 2001-2002 to the Provost's Office by the first week in December 2000. Forms for such requests are available. The member of the Provost's Office who handles the appointment matters for the department will notify chairs and faculty members of authorization for leaves. Please note that when a leave has been approved and it is known that the faculty member will take it, a Faculty Appointment Form stating the approved leave must be sent to the member of the Provost's Office who has approved the leave. If a scheduled leave is later canceled or postponed, the Provost's Office must be notified and sent a Faculty Appointment Form indicating that change. In recommending leaves, each chair must be mindful of the department's responsibilities to its undergraduate and graduate teaching schedule. The chair's approval of leaves will be taken as assurance that they are consistent with the department's teaching programs. If the chair believes that an adjustment in the timing of faculty leaves would make a significant improvement in those teaching programs, that adjustment should be recommended in the request to the Provost.

III. TERMINATIONS AND RESIGNATIONS

Appointments in the Faculty of Arts and Sciences are normally for nine months. Salaries are normally paid on a twelve-month basis from July 1. When faculty on nine-month appointments resign, or when their appointments terminate, the effective date of resignation or termination must be either December 31 or June 30. For term faculty whose employment terminates before the scheduled end of their appointments and for tenured faculty who resign at any time, a Faculty Appointment Form indicating the termination must

be sent to the appropriate dean. For teaching faculty, this is the dean who has responsibility for appointments matters for the department. For research faculty, forms should be sent to the Provost's Office.

IV. Documents and Deadlines for Ladder Faculty Appointments 2000-01

LADDER RANKS	DOCUMENTS REQUIRED -- PLEASE USE DOUBLE SIDED COPIES FOR ALL SUBMISSIONS							DEADLINE
	Fac Appt Form * full CV	Copies of Yale Format Vita	Copies of Major Writings	Copies of Reviews	Letter Requesting Recommendations	Letters of Recommendation	SEND TO	
Tenure ranks								
Professor Associate Professor with tenure	1 FAF 14 copies of full CV	14 initially and 366 after appt. has passed Ten. Appts. Committee (copy both sides)	1 1	1 1	3 copies of: a) sample letter b) lists of recipients for each stage letter	3 copies of responses to all Letters of Inquiry, Short-list Letters (6-8 from outside Yale), & third stage if any From ten assoc to full professor: 4 letters from outside Yale (3 copies each)	For Humanities, Social Sciences, and Physical Sciences & Engineering: Dean Brodhead For the Biological Sciences: Dean Hockfield	10 days before committee meets
Non-tenure ranks								
Associate Professor on term	1	14	1	1	3 copies of: a) sample letter b) list of recipients	At promotion (3 copies each) 5 from experts in field, some chosen by candidate.	Term Appointments Committee	
Assistant Professor	1	14	1	1	advertisement	Initial appointment: at least 2	Term Appointments Committee	
Lecturer Convertible	1	14	1	1	advertisement	Reappointment: none		

* For all new appointments, the Faculty Appointment Form must be accompanied by a Faculty Data Collection Form

Dean Brodhead is Chair of the Tenure Appointments Committees for the Humanities, Social Sciences and Physical Sciences & Engineering.

Dean Hockfield is Chair of the Tenure Appointments Committee for the Biological Sciences.

Dean Hockfield is Chair of the Term Appointments Committee.

The last day of Spring Term classes is the latest date for submission of recommendations to appoint effective 2001-02. Problems with meeting this final deadline should be raised with the chair of the appropriate appointments committee.

IV. Documents and Deadlines for Ladder Faculty Appointments 2000-01

LADDER RANKS	DOCUMENTS REQUIRED -- PLEASE USE DOUBLE SIDED COPIES FOR ALL SUBMISSIONS							DEADLINE
	Fac Appt Form * full CV	Copies of Yale Format Vita	Copies of All Major Writings	Copies of Reviews	Letter Requesting Recommendations	Letters of Recommendation	SEND TO	
Tenure ranks								
Professor	1 FAF	14 initially and 366 after appt.	1**	1	3 copies of:	3 copies of responses to all Letters of Inquiry, Short-list Letters (6-8 from outside Yale), & third stage if any	For Humanities, Social Sciences, and Physical Sciences & Engineering: Dean Brodhead	10 days before committee meets
Associate Professor with tenure	14 copies of full CV	has passed Ten. Appts. Committee (copy both sides)	1**	1	a) sample letter b) lists of recipients for each stage letter	From ten assoc to full professor: 4 letters from outside Yale (3 copies each)	For the Biological Sciences: Dean Hockfield	
Non-tenure ranks								
Associate Professor on term	1	14	1	1	3 copies of: a) sample letter b) list of recipients	At promotion (3 copies each) 5 from experts in field, some chosen by candidate.	Term Appointments Committee	
Assistant Professor	1	14	1	1	advertisement	Initial appointment: at least 2	Term Appointments Committee	
Lecturer Convertible	1	14	1	1	advertisement	Reappointment: none	Term Appointments Committee	

* For all new appointments, the Faculty Appointment Form must be accompanied by a Faculty Data Collection Form

** In addition, for Humanities and Social Sciences committees, 12 sets of selected writings.

Dean Brodhead is Chair of the Tenure Appointments Committees for the Humanities, Social Sciences and Physical Sciences & Engineering.

Dean Hockfield is Chair of the Tenure Appointments Committee for the Biological Sciences.

Dean Hockfield is Chair of the Term Appointments Committee.

The last day of Spring Term classes is the latest date for submission of recommendations to appoint effective 2001-02. Problems with meeting this final deadline should be raised with the chair of the appropriate appointments committee.

V. Documents and Deadlines for Non-Ladder Faculty Appointments 2000-01

NON-LADDER RANKS	DOCUMENTS REQUIRED -- PLEASE USE DOUBLE SIDED COPIES FOR ALL SUBMISSIONS								DEADLINE
	Fac Appt Form * with CV	Copies of Yale Vita	Applicant Form	Copies of Major Writings	Copies of Reviews	Letter Requesting Recommendations	Letters of Recommendation	SEND TO	
Professor Adjunct	1		1	1	1	3 copies each:	Initial or prom: 4	Term Appointments Committee	10 days before Term Appointments Committee Meetings
Assoc. Prof. Adjunct	1		1	1	1	a) sample letter	from outside Yale		
Assist. Prof. Adjunct	1	14	1	1	1	b) list of recipients	(3 copies of each)		
Senior Lecturer	1		1	1	1	advertisement	Reapp: none		
Gibbs Instructor	1					advertisement			
Lecturer -- term of two or more years	1	14	1				2 (3 copies of each)	Term Appoint. Committee	None
Lecturer -- for semester or full year (full or part-time)	1	3	1				2 (3 copies each; for reapp: chair letter)	Provost's Office 130 HGS	None None
Lector	1	1	1				2		
Visiting Appointments							None	Provost's Office 130 HGS	None
Professor	1	1							
Associate Professor	1	1							
Assistant Professor	1	1							
Research Appointments							Appt. or prom: At least 4 from outside Yale; Reappt : 2 inside	Provost's Office 133 HGS	None
Senior Research Scientist/Scholar	1	3	1	1	1				
Research Scientist or Scholar	1	3	1				Initial: 4 outside; Reappt or prom : 2 from inside Yale	Provost's Office 133 HGS	None
Associate Research Scientist/Scholar	1	1	1				Initial app't: 2; Reappointments: none	Provost's Office 133 HGS	None
Postdoctoral Associate or Fellow	1	1	1				Promotions: 1 from Chair or P.I.		

* For all new appointments, the Faculty Appointment Form must be accompanied by a Faculty Data Collection Form.

V. Documents and Deadlines for Non-Ladder Faculty Appointments 2000-01

NON-LADDER RANKS	DOCUMENTS REQUIRED -- PLEASE USE DOUBLE SIDED COPIES FOR ALL SUBMISSIONS								DEADLINE
	Fac Appt Form * with CV	Copies of Yale Vita	Applicant Form	Copies of Major Writings	Copies of Reviews	Letter Requesting Recommendations	Letters of Recommendation	SEND TO	
Professor Adjunct	1	14	1	1	1	a) sample letter)*	Initial or prom: 4 from outside Yale**	Term Appointments Committee	10 days before Term Appointments Committee Meetings
Assoc. Prof. Adjunct	1					b) recipient list **			
Assist. Prof. Adjunct	1		1	1	1	advertisement	2 letters from outside Yale		
Senior Lecturer	1	14	1	1	1	advertisement			
Gibbs Instructor	1					advertisement			
Lecturer -- term of two or more years	1	14	1				2 letters		
Lecturer -- for semester or full year (full or part-time)	1	3	1				2 letters For reappointment: letter from chair	Provost's Office 130 HGS	None None
Lector	1	3	1						
Visiting Appointments									None
Professor	1	3					None	Provost's Office 130 HGS	
Associate Professor	1	3							
Assistant Professor	1	3							
Research Appointments							Appt. or prom: At least 4 letters from outside Yale; Reappt : 2 inside	Provost's Office 133 HGS	None
Senior Research Scientist/Scholar	1	3	1	1	1				
Research Scientist/Scholar	1	3	1				Initial: 4 outside; Reappt or prom : 2 from inside Yale	Provost's Office 133 HGS	None
Associate Research Scientist/Scholar	1	1	1				Initial: 2 letters; Reappointments: none	Provost's Office 133 HGS	None
Postdoctoral Associate	1	1	1				Promotions: 1		
Postdoctoral Fellow	1	1	1				from Chair or P.I.	GS 139 HGS	

* For all new appointments, the Faculty Appointment Form must be accompanied by a Faculty Data Collection Form.

** 3 copies of each