

Faculty Handbook

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(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

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Faculty Affairs, Provost's Office

The Faculty Affairs section of the Provost's Office is responsible for implementation of University policy regarding appointments and promotions, salary setting, sabbaticals, endowed chair appointments, grievances, and other matters of an academic nature. The office works with school deans' offices, the Advisory Board, and the Provost to ensure compliance with Board of Trustees and Academic Council policies and to facilitate effective communication on issues related to the Professoriate and Other Teaching Staff. The office also provides publications, such as the Faculty Handbook, maintains a Faculty Affairs/Academic Secretary database, works with University officers and committees to develop new policy, and responds to external reporting requests.

School Faculty Affairs Offices

Each of the seven schools of the University and the SLAC National Accelerator Laboratory have Faculty Affairs Offices that provide a variety of services and functions. These offices coordinate the search process for new faculty, develop recommendations for appointments and promotions in the professoriate, work with school financial officers on salary recommendations, and approve sabbatical and other leave requests as well as short-term appointments of other teaching staff.

Preface

Last updated: March 29, 2010

The Stanford University Faculty Handbook, published by the Provost's Office, provides policies governing Faculty, Academic Staff (Teaching) and Other Teaching Staff. New faculty are encouraged to familiarize themselves with the handbook, but it is well worth review by faculty with long-standing University experience as well.

As in the previous edition, this book (in Chapters One through Five) pertains to those holding the following categories of professorial appointments: tenure line, non-tenure line, Medical Center Line, and Senior Fellows and Center Fellows in designated policy centers and institutes. Chapters One through Four have been revised this year.

The handbook (in Chapters Six, Seven, and Eight) additionally incorporates policies and procedures that apply to Lecturers, Senior Lecturers, and Artists-in-Residence (the Academic Staff-Teaching ranks) and (in Chapter Nine) to those holding other teaching titles, such as Visiting Professor. For additional information on policy statements and guidelines that support research at Stanford (including those relating to the Academic Staff- Research ranks), please consult the Research Policy Handbook, which may be obtained from the Office of the Dean of Research or on-line at <http://www.stanford.edu/dept/DoR/rph/>.

In its Appendices, this handbook contains various forms, including additional University policies and procedures (in Appendix B) for use in the appointment, reappointment and promotion of faculty. **These forms include guidelines stating the University-wide criteria for such appointments, reappointments and promotions, and therefore deserve study by every faculty member.**

There are additional policies and procedures applicable to specific schools and departments (including school-specific supplementary criteria for appointments, reappointments and promotions) that have been approved by the Provost's Office as consistent with overall University policy. It is not possible to present each of these policies in this handbook, but they may be obtained by inquiring of one's department chair or school dean, or by checking a School's website. Similarly, all employees are subject to additional applicable University policies, such as those set forth in the University's Administrative Guide, <http://adminguide.stanford.edu/> and the Stanford Bulletin <http://www.stanford.edu/dept/registrar/bulletin/>

In an institution as complex and dynamic as Stanford, change in organization and in the policies and procedures to which the faculty and academic staff are subject is an ongoing process, and the University reserves the right to make such changes. Although the policies contained in this handbook are up-to-date at the time of its publication, as time goes on one should check with the Provost's Faculty Affairs Office to verify the currently applicable policies or on-line at <http://facultyhandbook.stanford.edu/>

Chapter 1: The University and the Faculty

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Section 1.1 Founding of the University and History of Academic Development

1.1.A The Founders

Leland Stanford Junior University was founded by Leland and Jane Stanford in 1885 in memory of their only son, Leland Junior, who died of typhoid fever in Florence, Italy in 1884 just before his 16th birthday. His parents had come to California in 1852 and, although Mr. Stanford was trained as a lawyer, he entered the mercantile business with his brothers in the gold fields. They established large scale operations in Sacramento where Mr. Stanford became a leader in business and politics. He was one of the "Big Four" who built the western link of the first transcontinental railroad and was elected Governor of California and later United States Senator.

Senator Stanford procured the passage by the California legislature on March 9, 1885 of an enabling act under which a University, or Universities, might be founded, endowed, and

maintained in California through an ordinary deed of trust. Senator and Mrs. Stanford executed such a deed of trust on November 11, 1885, founding Stanford University. This document, known as The Founding Grant, conveyed to the 24 original trustees the Palo Alto Farm and other properties, directed that a University be established on the farm, and outlined the objectives and government of the University. Thus, the 8,800 acre campus and approximately \$20,000,000 formed the original endowment.

Along with Johns Hopkins and Cornell —also founded in the 19th Century—Stanford University was in the vanguard of American universities patterned on the German model, which stressed research and the freedom to learn and teach. In addition to the traditional liberal arts education, all three provided scientific, technological, and professional training.

The objectives of the University as stated in The Founding Grant were “to qualify students for personal success and direct usefulness in life; and to promote the public welfare by exercising an influence in behalf of humanity and civilization, teaching the blessings of liberty regulated by law, and inculcating love and reverence for the great principles of government....” The Founding Grant also called for “a University of high degree,” offering “studies and exercises directed to the cultivation and enlargement of the mind.”

In a letter to David Starr Jordan, the first president of the University, setting forth his educational ideals, Senator Stanford cited the need for instruction in the sciences, mathematics, law, and “general education” if the student was to qualify for “usefulness in life.” But Senator Stanford also attached great importance to the study of literature, music, and art. “The imagination needs to be cultivated and developed to assure success in life,” he wrote. The University opened its doors October 1, 1891. Senator Stanford died within two years, and the University was plunged into severe financial jeopardy because of the complicated nature of his estate and a government suit involving railroad holdings. Only the determination and sacrifices of Mrs. Stanford, President Jordan, and the faculty kept classes going. The estate was cleared after, in Jordan’s words, “six pretty long years.”

The Founding Grant reserved to the Founders the right to amend the Grant, and Mrs. Stanford, in the years following her husband’s death made several amendments in the form of addresses to the Board of Trustees. These covered such points as the non-sectarian, non-partisan nature of the University, the powers of the President, the duties of the Trustees, financial management, housing on campus, gifts from others than the Founders, summer schools, research, and tuition.

Mrs. Stanford died in 1905 and thus was spared a second crisis when the 1906 earthquake caused more than \$2,000,000 in damage to campus buildings. Fortunately, this, too, proved to be only a temporary setback for the University.

The Founding Grant has been published along with the text of the original deed of trust and other legal texts pertaining to the founding of Stanford University. Copies are widely available. Additional information concerning the history of the University is in the University Archives in Green Library.

1.1.B The Presidents

David Starr Jordan, a world-famed ichthyologist, was 40 years old when he was selected in 1891 by Senator and Mrs. Stanford to be the first president. He served until 1913 and thereafter was Chancellor and Chancellor Emeritus until his death in 1931.

John Casper Branner, Professor of Geology and Vice President of the University, served as President from 1913 until his retirement in 1915.

Ray Lyman Wilbur, member of the Stanford class of 1896, was elected third President in 1915 after a medical career in practice and as Dean of the Stanford Medical School. He retired in 1942 and then was Chancellor until his death in 1949.

Donald Bertrand Tresidder's time as fourth President was cut short by his death in 1948. Holder of Stanford A.B. and M.D. degrees, he had served as a University trustee.

J. E. Wallace Sterling, holder of a Stanford Ph.D. in History, was installed as Stanford's fifth President in 1949. Upon his retirement in 1968, he became Chancellor and served until his death in 1985.

Kenneth Sanborn Pitzer, a noted chemist and former President of Rice University, became the sixth President of Stanford in December 1968 and served until his resignation in September 1970.

Richard Wall Lyman, seventh President, took office in September 1970 and served until August 1980 at which time he accepted the presidency of the Rockefeller Foundation. He had been Vice-President and Provost and Professor of British History. He returned to Stanford in 1988 to serve as Professor of History and Director of the Institute for International Studies until retirement in 1991. He is currently the J.E. Wallace Sterling Professor in the Humanities, Emeritus.

Donald Kennedy was Stanford's eighth President, serving from September 1980 through August 1992. Prior to his appointment he had been Vice President and Provost and Professor of Biological Sciences. He remains Professor of Biological Sciences and holds the Bing Professorship of Environmental Science, Emeritus.

Gerhard Casper served as the ninth President of the University from September 1992 to August 2000. He is currently the Peter and Helen Bing Professor in Undergraduate Education, Professor of Law, and Senior Fellow at the Institute for International Studies.

John L. Hennessy, the Willard R. and Inez Kerr Bell Professor in the School of Engineering became the tenth President of the University in September 2000.

1.1.C The Faculty

David Starr Jordan was appointed President in March, 1891, and by June his first faculty—17 men of youth and scholarly promise—had accepted appointments. Jordan sought professors who

combined abilities for teaching and for research. The first class of 465 students was double the expectations, and 29 professors were added the second year. The Professoriate grew to nearly 300 by 1946, and in the postwar years moved ahead rapidly to its present level of about 1800.

The Articles of Organization of the Faculty were adopted by the Board of Trustees in 1904. These articles created the Academic Council, composed of assistant, associate, and full professors, to give the faculty a formal voice in University governance for the first time.

The Articles of Organization made clear the role of the Academic Council in curricular and academic matters and established the Academic Council's Executive Committee, Advisory Board, and standing committees.

The structure remained essentially unchanged until 1968 when the Senate of the Academic Council replaced the Executive Committee, following approval by the Academic Council and the Board of Trustees. The Senate has since recommended a number of faculty policies, which have been approved by the Academic Council and the Board of Trustees. They are so noted throughout this handbook.

1.1.D The Schools

When Ray Lyman Wilbur took office in 1915, the faculty was grouped into 26 independent departments showing what Registrar J. P. Mitchell referred to kindly as "a serious absence of cooperation." It took 10 years to evolve a system of Schools. The University currently has 7 schools: the School of Earth Sciences, the School of Education, the School of Engineering, the Graduate School of Business, the School of Humanities and Sciences, the Law School, and the School of Medicine.

1.1.E The Students

Four hundred sixty-five students, 20 graduate students among them, were registered when the dedication ceremonies were held on the Inner Quad in October 1891. Total enrollment topped a thousand by the fourth year, and reached 2,200 in 1915, including 343 graduate students. The post-World War II surge brought 5,347 undergraduates and 2,970 graduates to the campus by 1948. Currently, about 6,700 undergraduate and 8,100 graduate students are enrolled.

The Founding Grant established Stanford as a coeducational institution. Mrs. Stanford set a limit of 500 women in 1899, but this figure became unrealistic, and in 1933 the Trustees decided to maintain substantially the same proportion between men and women as existed in 1899. In 1973, following court approval of a change in The Founding Grant, all numerical limitations on the admission of women were removed.

Section 1.2 UNIVERSITY GOVERNANCE

1.2.A The Board of Trustees

The Board of Trustees is custodian of the endowment and all properties of the University. The Board administers the invested funds, sets the annual budget, and determines policies for operation and control of the University. The powers and duties of the Board of Trustees derive from the Founding Grant, Amendments, Legislation, and Court Decrees. In addition, the Board operates under its own by-laws and a series of resolutions on major policy.

Board membership is set at a maximum of 35, including the President of the University who serves ex officio and with vote. Trustees serve a five-year term and are eligible for appointment to one additional five-year term. At the conclusion of that term, a Trustee is not eligible for reelection until after a lapse of one year. Eight of the Trustees are elected or appointed in accordance with the Rules Governing the Election or Appointment of Alumni Nominated Trustees; they serve a five-year term.

The Officers of the Board are the Chair, one or more Vice Chairs, and the Secretary and the Associate Secretary. The Chair is elected to a two-year term at the annual meeting held in June. All other officers are elected to one-year terms at the annual meeting in June. All terms of office begin July 1.

Standing committees of the Board are Academic Policy, Planning, and Management; Alumni and External Affairs; Audit and Compliance; Development; Finance; Land and Buildings; and Medical Center. Special committees include Compensation, Investment Responsibility and Litigation.

The Board generally meets five times each year.

1.2.B The President

The Founding Grant prescribes that the Board of Trustees shall appoint the President of the University and that the Board shall give to the President the following powers:

- To prescribe the duties of the professors and teachers;
- To prescribe and enforce the course of study and the mode and manner of teaching;
- Such other powers as will enable the President to control the educational part of the University to such an extent that the President may justly be held responsible for the course of study therein and for the good conduct and capacity of the professors and teachers.

The Board of Trustees has delegated certain additional powers to the President. The President is responsible for the management of financial and business affairs of the University, including operation of the physical plant.

In the inability of the person appointed President to act as President, the Provost shall be Acting President.

1.2.C The Provost

The Provost, as the chief academic and budget officer, administers the academic program (instruction and research in schools and other unaffiliated units) and University services in support of the academic program (student affairs, libraries and information resources, and institutional planning). The Provost shares with the President the conduct of the University's relations with other educational institutions, groups, and associations.

1.2.D Other Administrative and Academic Officers

Programs of instruction in the University are organized primarily in the seven schools. Each school is administered by the dean and staff. Deans of schools are responsible, both academically and administratively, to the Provost. The Graduate School of Business, the School of Education, and the Law School act as single units. The Schools of Earth Sciences, Engineering, Humanities and Sciences, and Medicine are organized into departments and programs, the chairs of which are responsible to their respective deans. Chairs hold their administrative positions at the will of the President. Deans hold their administrative positions at the will of the Provost and the President.

A complete listing of the University's administrative and academic executive officers appears in the annual Stanford Directory; additional information is available on-line at <http://www.stanford.edu/about/administration/index.html> and at http://facultysenate.stanford.edu/committee_resources/index.html.

1.2.E The Professoriate

Conforming to 1989 and 1990 actions of the Senate of the Academic Council on the recommendations of the Second Committee on the Professoriate, the Professoriate consists of the following categories of professorial appointments:

Tenure Line faculty
Assistant Professor
Associate Professor
Professor

Non-Tenure Line faculty
Assistant Professor (Research)
Associate Professor (Performance, Teaching, Research)
Professor (Applied Research, Clinical, Performance, Teaching, Research)

Medical Center Line faculty
Assistant Professor (MCL)
Associate Professor (MCL)
Professor (MCL)

Other faculty designations

Assistant Professor (Subject to Ph.D.)

Senior Fellow at designated policy centers and institutes
(defined in Section 2.3.B of this handbook)

Center Fellow at designated policy centers and institutes
(defined in Section 2.3.B of this handbook)

1.2.F The Academic Council

The powers and authority of the Academic Council are set forth in the Articles of Organization of the Academic Council, originally adopted in 1904 and subsequently amended, and in the Charter of the Senate of the Academic Council, originally adopted in 1968 and subsequently amended. The powers of the Academic Council are exercised through the actions of the Academic Council itself, the Senate, the Academic Council Committees, the Advisory Board, and the Academic Council Professoriate. The Academic Council is vested with the authority to discuss and decide upon matters of policy within the province of the Professoriate, subject to the power of disapproval of the Board of Trustees. The Articles of Organization of the Academic Council and the Charter of the Senate of the Academic Council are available from the Academic Secretary, or on-line at <http://facultysenate.stanford.edu>.

The Academic Council Professoriate consists of:

Tenure Line faculty

Assistant Professor

Associate Professor

Professor

Non-Tenure Line faculty

Assistant Professor (Research)

Associate Professor (Applied Research, Clinical, Performance, Teaching, Research)

Professor (Research, Clinical, Performance, Teaching, Research)

Senior Fellow at designated policy centers and institutes

The Academic Council consists of all members of the Academic Council Professoriate and the academic administrative officers currently designated in the Articles of Organization of the Academic Council as members of the Academic Council.

Twenty percent of the membership of the Academic Council constitutes a quorum. Professors Emeriti are Senior Members of the Academic Council with privileges of the floor and of service on committees but not with the right to vote or hold office.

The Academic Council holds one regularly scheduled meeting annually when reports are received from the President of the University and concerning the discussions and decisions of the Senate. Special meetings of the Academic Council may be held at the call of the President or by action of the Academic Council. In addition, special meetings of the Academic Council may be called by the Academic Secretary under provisions of the Charter of the Senate. Agendas,

minutes, committee rosters, committee reports and other materials related to the Academic Council Senate are available from the Academic Secretary or on-line at <http://facultysenate.stanford.edu>.

1.2.G The Advisory Board of the Academic Council

The Advisory Board of the Academic Council is composed of seven full professors, one from each of the seven Advisory Board Electoral Groups as designated below. All recommendations for appointments, promotions, reappointments, and for the creation and dissolution of departments, etc., must be submitted by the President to the Advisory Board. The Advisory Board is also authorized to make such recommendations to the President regarding policy as it may decide by vote to be expedient, but no recommendations for appointments, promotions, or dismissals may originate with the Advisory Board. The powers and functions of the Advisory Board are described in the Articles of Organization of the Academic Council.

The role of the Advisory Board in conducting faculty discipline hearings is described in the Statement on Faculty Discipline. The role of the Advisory Board in handling appeals relating to academic freedom is described in the Statement on Academic Freedom. The role of the Advisory Board in certain other faculty appeals is described in the Statement of Faculty Appeal Procedures. These three statements are found in Chapter 4 of this handbook.

For the purpose of elections to the Advisory Board, the members of the Academic Council are divided into seven Advisory Board Electoral Groups, which represent a rearrangement of Senate Electoral Units:

- I Graduate School of Business, School of Education, Law School
- II School of Engineering
- II School of Humanities and Sciences (Sciences)
- IV School of Humanities and Sciences (Social Sciences)
- V School of Humanities and Sciences (Humanities)
- VI School of Medicine (Clinical Sciences)
- VII School of Earth Sciences, Stanford Linear Accelerator Center,
School of Medicine (Basic Sciences), Special Administrative Group

Terms of office are three years, beginning on September 1 following election. The pattern of elections is based on cycles of three years. In the first year of a given cycle, members are elected from Electoral Groups IV, V, and VII; in the second year, members are elected from Electoral Groups II and VI; and in the third year, members are elected from Electoral Groups I and III. Consecutive service is limited to two terms (or fractions thereof), but a person is eligible for reelection at the third annual election after the expiration of any period of service.

Major administrative officers such as the following are not eligible to serve on the Advisory Board: the President, the Provost, School Deans, others delineated in the Articles of Organization as officers of Academic Administration; and other members of the Academic Council who are determined by the Senate to hold appointments of similar character in the University administration.

1.2.H The Senate of the Academic Council

The Senate of the Academic Council was established by the Charter of the Senate, approved by the Academic Council on April 11, 1968 and ratified by the Board of Trustees on May 16, 1968, with subsequent amendments. The Senate exercises the deliberative and legislative functions of the Academic Council which, in general, has the power and responsibility for the academic administration of the University subject to limitations by the Board of Trustees. For more information refer to the Articles of Organization of the Academic Council, Chapter IV. Since 1993 the Senate has been composed of fifty-five members of the Academic Council apportioned as follows:

Graduate School of Business 3
Earth Sciences 2
Education 2
Engineering 11
Humanities and Sciences 24
Law 2
Medicine 9
SLAC 1
Special Administrative Group 1

Members of the Senate serve a two-year, staggered term. The Charter of the Senate of the Academic Council also provides for 15 ex officio members without the right to vote. The Rules of the Senate of the Academic Council (available from the Academic Secretary or on-line at <http://facultysenate.stanford.edu/archive/handbook/103939/103939.html>), provide for three standing guests from the Associated Students of Stanford University. Student guests, like ex officio members, have the right to speak, but not the right to vote.

For any given academic year, the Senate elects a Chair and six other members to serve with the President or a designee of the President (usually the Provost) as the Steering Committee of the Senate. The first duty of the Steering Committee-elect is to appoint, from the members of the Senate-elect, a Chair and six other members to serve as the Committee on Committees of the Senate.

The Steering Committee of the Senate receives reports from Academic Council Committees and plans subjects for study and discussion by the Senate. The Committee on Committees performs several functions — nominating and appointing Academic Council members to serve on committees, as well as recommending the establishment of new committees and the discontinuance of existing ones.

The Senate refrains from taking action on any matter that is properly the concern of one of the Committees of the Academic Council. Only after the matter has been considered and reported on by the appropriate Academic Council Committee does the Senate take action — generally by acting on a recommendation from that committee. For the enactment of legislation governing the scholarly and teaching work of the University, the Senate of the Academic Council is the

authorized body, but there are extensive provisions whereby any decision of the Senate can be challenged and made the subject for review and referendum by the Academic Council.

The Charter of the Senate of the Academic Council provides that meetings of the Senate shall be open to all members of the Academic Council, and that all decisions of each Senate meeting and the votes by which the decisions were taken shall be reported in writing to every member of the Academic Council within seven days after the meeting. The issue of Stanford Report published in the week following a Senate meeting always includes that Senate report.

1.2.I Committee Structure of the University

1.2.I(1) Standing Committees

Standing Academic Council Committees and Standing Committees of the Senate formulate policy on all matters related to teaching and research, the central functions of the University. These committees are charged and appointed by the Senate of the Academic Council through the work of its Committee on Committees. The policies formulated by the Standing Academic Council Committees and Standing Committees of the Senate do not take effect until approved by the Senate of the Academic Council.

Standing Committees of the Senate:

- Committee on Committees
- Committee of Tellers
- Planning and Policy Board
- Steering Committee

Standing Academic Council Committees:

- Committee on Academic Computing and Information Systems
- Committee on Graduate Studies
- Committee on Libraries
- Committee on Research
- Committee for Review of Undergraduate Majors
- Committee on Undergraduate Admission and Financial Aid
- Committee on Undergraduate Standards and Policy

1.2.I(2) Planning and Policy Board

In Spring of 1992, the Senate established a new Planning and Policy Board composed of ten voting members. Seven members are appointed by the Committee on Committees to serve three year terms. The candidates are nominated by the Committee on Committees from among the entire Academic Council membership. The other three members are the current and two past Chairs of the Senate. Among the Planning and Policy Board's charged duties is to articulate the academic vision and mission for the University and to formulate academic policy issues for consideration by the faculty.

1.2.I(3) University Committees

University Committees, which deal largely with matters related to activities that support the teaching and scholarly work of the University, report to the President. These five committees formulate recommendations for policy, but such recommendations do not take effect until approved by the President. The President writes the charges to University Committees and appoints both their members and the chairs. Faculty and student members of these committees are appointed by the President on nomination of the Committee on Committees (for Academic Council members) or of the ASSU Senate Committee on Nominations (for student members). From time to time University Committees deal with matters of particular interest to the Senate of the Academic Council. On such occasions, the Senate may request a report, and the President may invite that University Committee to present the report to the Senate. Such reports are not subject to Senate action.

University Committees:

Committee on Athletics, Physical Education and Recreation
Committee on Faculty and Staff Human Resources
Committee on Environmental Health and Safety
Advisory Panel on Investment Responsibility and Licensing
Panel on Outdoor Art

1.2.I(4) Administrative Panels

Administrative Panels deal with matters of a technical nature, generally related to ensuring compliance with external regulations and internal policy regarding hazardous agents and human or laboratory subjects used in the course of University teaching or research activities. These panels review and approve proposed procedures such as those involving agents or laboratory subjects, draft relevant new policies, and frequently oversee the implementation of such policy. The President appoints the members of these panels which report to him through the Dean of Research. The composition of these panels, mandated by external regulatory agencies, includes faculty, staff, students and, in some cases, unaffiliated members who have expertise in the relevant areas.

Administrative Panels:

Administrative Panel on Biosafety
Administrative Panel on Human Subjects in Medical Research
Administrative Panel on Human Subjects in Non-medical Research
Administrative Panel on Laboratory Animal Care
Administrative Panel on Radiological Safety
Human Embryonic Stem Cell Research Panel

Committee rosters for the Senate, the Advisory Board, and all Academic Council and Senate committees as well as University Committees and Administrative Panels are available each year

from the Office of the Academic Secretary to the University and on-line at <http://facultysenate.stanford.edu/>.

1.2.I(5) Ad Hoc Committees

From time to time, the President appoints commissions, task forces, or committees, which are bodies designated to respond to specific instructions and requests from the administration. They are generally assumed to be temporary bodies.

1.2.I(6) School and Department Level Committees

There are many other advisory and policy-making committees at the school and department level, but these do not fall within the province of the Senate of the Academic Council.

Committees at all levels are sufficiently numerous, and the demands on the time of persons serving on them sufficiently heavy, that the Committee on Committees recommends that any individual's concurrent service should be limited to one University-wide committee, one School-wide committee, and one departmental committee.

1.2.I(7) Board on Judicial Affairs

The Student Judicial Charter of 1997 sets forth the core principles, requirements, and administrative mechanics of the student judicial process. The committee in this category is the Board on Judicial Affairs.

1.2.I(8) Faculty Membership on Board of Trustees Committees

On nomination by the President of the University, the Board of Trustees customarily appoints Academic Council members and students to serve on the following Board committees:

- Committee on Academic Policy, Planning and Management
- Committee on Alumni and External Affairs
- Committee on Finance
- Committee on Development
- Committee on Finance
- Committee on Land and Buildings
- Committee on Trusteeship

In making nominations, the President asks for the advice of the Senate Committee on Committees for faculty nominations and The Associated Students of Stanford University Committee on Nominations for student nominations. Student candidates are then interviewed and selected by the Trustee Chairs of the standing committees.

1.2.J The Departmental Professoriate

The following italicized section is excerpted from the Articles of Organization of the Academic Council.

Faculty titles have been amended to conform with 1989 and 1990 actions of the Senate of the Academic Council on the recommendations of the Second Committee on the Professoriate.

Section 1a) The Departmental Professoriate shall consist of the Professors, Associate Professors, Assistant Professors, and members of professorial ranks not in the tenure line in the departments, and only they shall have the right to vote.

1b) The chair of a department shall preside at meetings of that department's Professoriate and, as administrative head of the department, shall be responsible to the cognizant dean of the school in matters concerning the departmental operating budget, personnel actions, and similar matters, and shall serve as the official means of communication regarding departmental affairs between the department and the President, the Academic Council, and other departments.

1c) The chair or the designees of the chair shall sign all requisitions for supplies and equipment required by the department.

Section 2. The departmental Professoriate shall have the direction of the work of instruction in the department and of the internal administration of the department, subject only to such control as is vested in the Board of Trustees, the President of the University, or the Academic Council.

Section 3a) All matters of internal administration in the department shall be decided in conference or, if necessary, by vote of members of the departmental Professoriate as designated in the departmental by-laws.

3b) In case the chair of the department shall fail to concur in the decision of the departmental Professoriate, he or she shall report in writing the action of the departmental Professoriate: (i) in matters relating to appointment, reappointment, or promotion, to the cognizant dean, the Provost, and the Advisory Board, or (ii) in academic matters not covered by the above, to the cognizant dean, the Provost, and the Senate of the Academic Council, or (iii) in administrative matters not covered by the above, to the cognizant dean, the Provost, and the Advisory Board, with a written statement of the reasons for his or her non-concurrence; and other members of the departmental Professoriate may, at will, make a written statement of their position.

3c) Any member of the departmental Professoriate shall have the right to appeal the decision of the department or of the chair, except in the case of an individual's own appeal covered by the Statement on Academic Freedom or the Statement on Faculty Appeal Procedures at Stanford University, for which the University has duly established appeal procedures.

3d) The Advisory Board or the Senate of the Academic Council, as the case may be, shall in such cases consider the course to be pursued, and shall submit its opinion in writing to the President of the University, whose decision shall be final.

3e) The cognizant departmental Professoriate shall determine by vote, or other agreed procedures, when students shall be recommended for graduation, and the chair shall report the names of such students to the appropriate committee.

Section 4. The departmental Professoriate in the several departments may adopt bylaws for regulating the internal affairs of their own departments and shall keep a record of their official acts.

Section 5. Meetings of the departmental Professoriate may be called by the chair or by any two members of the departmental Professoriate.

1.2.K Academic Staff and Other Teaching Staff

In September 1975 an academic staff structure was established at Stanford consisting of the ranks of Senior Lecturer, Lecturer, Senior Research Associate and Research Associate. The establishment of this structure was the result of recommendations of the Senate of the Academic Council in response to the Report of the Committee on the Professoriate at Stanford. The non-professorial academic staff at Stanford University now is composed of the following three groups:

Academic Staff (Teaching)

Lecturer
Senior Lecturer
Artist-in-Residence

Academic Staff (Research)

Clinical Life Science Research Associate
Senior Research Scientist-Clinical Science

Basic Life Science Research Associate
Senior Research Scientist- Basic Life

Physical Science Research Associate
Senior Research Scientist- Physical

Engineering Research Associate
Senior Research Engineer

Social Science Research Associate
Senior Research Scholar

Visiting Research Associate
Senior Visiting Research Associate

Research Associate/Clinician Educator
Senior Research Associate/Clinician Educator

Academic Staff (Libraries)

Assistant Librarian
Associate Librarian
Librarian
Senior Librarian

Instruction is also performed by Other Teaching Staff. Individuals with Other Teaching appointments hold staff or volunteer positions with the University. There are significant variations in the circumstances under which individuals qualify for and secure appointments to these positions. Other Teaching Staff positions are limited to the following:

Acting Assistant Professor
Acting Associate Professor
Acting Professor

Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor

Consulting Assistant Professor
Consulting Associate Professor
Consulting Professor

Assistant Professor (By courtesy)
Associate Professor (By courtesy)
Professor (By courtesy)

Professor of the Practice

Teaching Specialist

The Other Teaching Staff titles used in the School of Medicine fall generally under the following categories:

Acting Appointments

Visiting Appointments

Consulting Appointments

Instructor and Instructor (Affiliated) Appointments

See <http://med.stanford.edu/academicaffairs/handbook/chapt5.html> for information regarding these positions.

All individuals who teach a course for credit at Stanford University in a staff or volunteer position must have a professorial appointment, an Academic Staff (Teaching) appointment, or an Other Teaching Staff appointment approved for the quarter or term in which the course is offered. Individuals appointed as Academic Staff (Teaching) or as Other Teaching Staff are not members of the professoriate or the Academic Council.

Chapter 2: Appointments, Reappointments and Promotions in the Professoriate

Last updated: March 29, 2010

(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

Revised Chapter 2 sets forth the faculty lines, appointment ranks, terms of appointment, and operational policies and procedures for appointments, reappointments and promotions in the Stanford University Professoriate, as defined in Section 1.2.E of this handbook to include the Tenure Line, the Non-Tenure Line, Senior Fellows and Center Fellows at designated policy institutes, and the Medical Center Line. *The Statement on Appointment and Tenure*, which provides the historical foundations for many of these provisions, is located in Chapter 4 (“Core Policy Statements”) of this handbook.

The criteria for professorial appointments, reappointments and promotions are found in the appointment forms in Appendix B to this handbook, along with other guidelines relevant to these processes. Note that various schools may have school-designated policies and practices that must be followed, and those carrying out search and review processes are urged to consult their Dean’s offices for the pertinent information.

Section 2.1 ACADEMIC COUNCIL PROFESSORIATE: THE TENURE LINE

2.1.A General Information

All members of the Tenure Line faculty are members of the Academic Council of the University. (See Section 1.2.F)

2.1.B Titles and Ranks in the Tenure Line

The Tenure Line ranks are:

Assistant Professor
Associate Professor
Professor

Persons appointed to any of the above-designated ranks, at either full or part-time, are in the Tenure Line, unless specified to the contrary in the appointment papers and in writing to the individual. Individuals may also be appointed in the Tenure Line as an Assistant Professor with a “Subject to Ph.D.” contingency. (See Section 2.6.A)

2.1.C Duration of Appointments

Tenure Line appointments are made either for a term of years or “without limit of time” (which is commonly referred to as “with tenure”). The total length of time spent in untenured term appointments in the Tenure Line at any rank may not exceed seven years, except in specified circumstances described in the guidelines below. The usual duration of an appointment (subject to relatively rare exceptions granted by the Provost for good cause and on a case-by-case basis) for each rank is:

| Rank | Initial Appointment | Reappointment at or Promotion to |
|---------------------|---|--|
| Assistant Professor | Normally 3-4 years; may be appointed for a term of up to 5 years | Normally 3-4 years; not to exceed a total of seven years |
| Associate Professor | With tenure, or for a term of up to 6 years | With tenure, or for a term not to exceed a total of seven years without tenure |
| Professor | With tenure, or for a term of up to 6 years when special circumstances warrant an appointment for a term of years | With tenure, or for a term of up to 6 years when special circumstances warrant an appointment for a term of years. |

Although term appointments are frequently made with the clear possibility of reappointment or promotion, there is no entitlement to such action at the end of the term and it is by no means automatic. Instead, decisions on reappointment and promotion, like decisions on initial appointment, are subject to the exercise of professional and scholarly judgment and discretion by the University’s departmental faculty and its academic leadership. Some Tenure Line appointments are also contingent on support from designated institutions or departments. See Section 2.6.B regarding Coterminous Appointments.

2.1.D Tenure

According to the *Statement on Appointment and Tenure* (see Chapter 4 of this handbook), tenure is defined as security of appointment which continues to the date of academic retirement. Tenure Line appointments (including reappointments and promotions) that are “without limit of time” carry tenure. Tenure may also be acquired by length of service.

2.1.D(1) Appointment, Reappointment, or Promotion Without Limit of Time

Appointments (including reappointments and promotions) without limit of time automatically carry tenure. The papers recommending the appointment, reappointment, or promotion of a Tenure Line faculty member must state whether the recommended position is without limit of time.

2.1.D(2) Tenure By Length of Service

Tenure may also be acquired by length of service.

Full time service in the Tenure Line faculty at Stanford at the ranks of Professor, Associate Professor, or Assistant Professor (or a combination thereof) beyond seven years confers tenure by length of service. Individuals holding appointments “Subject to Ph.D.” do not accrue time toward tenure by length of service. As described below, various circumstances may extend the seven year tenure clock deadline (and thus the date on which tenure by length of service would be conferred).

For appointments beginning after August 31, 1996, however, untenured service in a Tenure Line rank may not normally exceed ten years, irrespective of the circumstances that might extend the seven year tenure clock deadline described below in Section 2.1.D(2)c. Accordingly, untenured service in a Tenure Line rank beyond ten years confers tenure by length of service. The ten year appointment clock deadline can only be extended by a Provostially-granted exception for extraordinary personal or institutional circumstances.

In determining tenure by length of service, both the seven year tenure clock deadline and the ten year appointment clock deadline must be calculated. Departments and schools are expected to accurately track and calculate both deadlines. Faculty members with questions about the seven year tenure clock and ten year appointment clock deadlines and clock policies and exceptions should contact their Dean’s Office or the Provost’s Faculty Affairs Office.

2.1.D(2)a Principles Relevant To Calculating The Seven Year Tenure Clock And Ten Year Appointment Clock Deadlines

Service in the Tenure Line: Only periods of service in the Tenure Line as an Assistant Professor, Associate Professor or Professor (or a combination thereof) count toward tenure by length of service. Persons holding acting or visiting appointments or “Subject to Ph.D.” appointments do not accrue time toward tenure by length of service.

Breaks In Tenure Line Service: Periods of service in the Tenure Line at Stanford University need not be continuous to count toward acquisition of tenure by length of service. For a faculty member who departs Stanford University and is subsequently rehired, all service at Stanford in the Tenure line counts toward the seven year tenure clock and the ten year appointment clock deadlines.

Service At Other Institutions: Academic service at other institutions does not count toward acquisition of tenure by length of service at Stanford University.

Initiation of Tenure Review: Periods of service after the initiation of the tenure review process do not count toward tenure by length of service.

2.1.D(2)b Circumstances That DO Extend The Seven Year Tenure Clock Deadline

Part Time Appointments: Part time appointments are prorated on the basis of the fraction of service compared to a full-time appointment, and thus do extend the seven year tenure clock deadline. However, a total number of untenured years of service in a Tenure Line rank greater than ten years confers tenure by length of service, regardless of the percentage of time served.

Administrative Appointments: Academic appointments made specifically to coincide with an administrative appointment or a specific project do not accrue time toward tenure (under the seven year tenure clock) and thus do extend the seven year tenure clock deadline. This must be stated in the appointment papers and confirmed in writing by the Provost at the time of the appointment. Similarly, individuals serving under regular academic appointments accruing time toward tenure who subsequently accept full or part-time administrative appointments may, under certain circumstances, have the period of time (either full or prorated, as appropriate) deducted in computing length of service toward tenure under the seven year tenure clock; this must also be confirmed in writing by the Provost in advance of the period to be deducted. Although academic appointments made specifically to coincide with an administrative appointment or a designated project do not accrue time toward tenure under the seven year tenure clock (and thus do extend the seven year tenure clock deadline), they *do* accrue time toward tenure under the ten year appointment clock.

Leave Without Salary: Any period of leave from service (including childcare leave and Family Medical Care Leave) that is completely without salary paid by or through Stanford University does not count toward tenure by length of service under the seven year tenure clock. Such periods extend the seven year tenure clock deadline for the duration of the authorized leave unless there is advance written agreement by the Provost to the contrary. Periods of partial leave without salary stop the seven year tenure clock on a proportional basis. Periods of leave without salary do not extend the ten year appointment clock deadline.

Childcare Leave: Childcare leave is leave without salary that may be taken by any faculty member, male or female, who becomes a parent by birth or adoption. See Section 3.5.C. As leave without salary, it does extend the seven year tenure clock deadline (but not the ten year appointment clock deadline).

New Parent Tenure Clock Extension: A faculty member who becomes a parent, by birth or adoption, while holding a tenure-accruing appointment is entitled to a one-year extension of the date (under the seven year tenure clock) on which tenure would be conferred due to length of service for each birth or adoption event. This extension will normally have the effect of postponing for a year the initiation of the tenure review process. The New Parent Tenure Clock Extension, though it extends the seven year tenure clock deadline, does not extend the ten year appointment clock deadline.

This extension of the seven year tenure clock deadline is not tied to the number of weeks the faculty member is on pregnancy disability leave, whether he or she requested a reduced teaching or clinical load (see Section 3.5.B), or whether he or she subsequently takes a leave without salary for childcare purposes. The extension applies even if a faculty member becomes a parent during an off-duty quarter (such as summer quarter) and returns immediately to his or her regular work load.

To initiate the extension process, the faculty member must submit the form found at <http://www.stanford.edu/dept/provost/faculty/policies/handbook/f.html> to his or her Department Chair or to the School Dean's Office for Schools without departments. Requests must be submitted prior to the commencement of the faculty member's tenure review. The tenure review commences when the department chair or dean informs the candidate in writing that the review process has commenced. The School will then advise the Provost's Office through the submission of a [Recommendation for Amendment of Professorial Appointment](#) form (Appendix C) and provide revised tenure clock and appointment clock calculations for the faculty member.

Other Personal Circumstances: In cases of extended leaves without service, such as long-term disability or other similar personal circumstances that significantly disrupt teaching and scholarly activities for an extended period, untenured Tenure Line faculty should contact their Dean's Office to explore a potential extension of their seven year tenure clock deadline. Long term disability is generally considered to be a leave without service, and thus is non-tenure accruing. An extension for such personal circumstances requires a Provostially-granted exception in writing.

2.1.D(2)c Circumstances that DO NOT extend the seven year tenure clock deadline

Sabbatical Leave: The sabbatical leave program is provided to free faculty members from their normal University duties, enabling them to pursue their scholarly interests full time and maintain their professional standing so that they may return to their posts with renewed vigor, perspective, and insight. Periods of sabbatical leave count towards tenure and do not stop the seven year tenure clock, regardless of the percentage of sabbatical pay during the leave.

Leave For Periods of Pure Research: A pure research period is defined as a designated leave from teaching and certain other institutional responsibilities during which the faculty member receives full or partial salary through Stanford, normally from sponsored research. Such periods when a faculty member is receiving salary, whether from sponsored research or a combination of sponsored research and regular sabbatical or other pay, count toward tenure and do not extend

the seven year tenure clock deadline. Periods of pure research do not constitute leave without salary or leave without service, and the tenure clock does not stop.

Short Term Disability Leave: Short term disability leave does not extend the seven year tenure clock deadline as the faculty member is relieved of duties for a relatively short period of time. Short term disability leave can only extend the seven year tenure clock deadline if the Provost has granted an exception in writing. See above regarding “Other Personal Circumstances.”

Pregnancy Disability Leave: Pregnancy Disability Leave is short term disability leave for the period of time before and after childbirth during which a faculty member is relieved of all normal University responsibilities. This period of time does not normally extend the seven year tenure clock deadline as the faculty member is relieved of duties for a relatively short period of time. See, Section 3.5 for more information about pregnancy disability leave and childcare leave; see Section 2.1.D(2)b above for the New Parent Tenure Clock Deadline Extension.

2.1.D(2)d Circumstances That DO Extend The Ten Year Appointment Clock Deadline

The ten year appointment clock deadline can *only* be extended by a Provostially-granted exception in writing for extraordinary personal or institutional circumstances.

2.1.D(2)e University Emergencies

In the event of emergency circumstances that severely disrupt the regular operation of the University (such as an earthquake, pandemic, etc.), the Provost in his or her discretion may declare that the operation of the seven year tenure clock and the ten year appointment clock are stopped (and the deadlines correspondingly extended), until a further declaration by the Provost following the resumption of University operations.

2.1.E Process For Extending Appointments

The circumstances described above (that extend a seven year tenure clock or a ten year appointment clock deadline) do not automatically extend the individual’s appointment term. This must be accomplished through the normal processes, with the submission of a *Recommendation for Amendment of Professorial Appointment* form (Appendix C) by the department and/or school. Such extensions of appointment terms under these circumstances will ordinarily be granted.

Faculty members with questions about the seven year tenure clock and ten year appointment clock policies and exceptions, and about the extension of appointment terms, should contact their Dean’s Office or the Provost’s Faculty Affairs Office.

SUMMARY OF TENURE AND APPOINTMENT CLOCK POLICIES

- Seven year tenure clock applies to all Tenure Line faculty
- Ten year appointment clock applies to Tenure Line faculty appointed after 8/31/96
- Only service at Stanford University counts toward either clock
- Periods of service in an untenured Tenure Line position as an Assistant Professor, Associate Professor and/or Professor count; however, periods of service in appointments designated as “Acting”, “Visiting,” “Subject to Ph.D.” or “Szego” do not count
- Service does not have to be continuous to count
- Service after the start of the tenure review process does not count

| Circumstances that may impact the deadlines | Extends Seven year tenure clock deadline | Extends Ten year appointment clock deadline |
|---|---|--|
| Part-time service is pro-rated | Y | N |
| Academic appointments made specifically to coincide with an administrative appointment or a designated project | Y | N |
| New parent extension | Y | N |
| Leave without salary (including childcare leave and Family Medical Care Leave taken as leave without salary) | Y | N |
| Pregnancy Disability | N | N |
| Reduced teaching load for new parents | N | N |
| Short term disability | N | N |
| Leaves for periods of pure research | N | N |
| Sabbatical leave | N | N |
| Provostially-granted exception for other personal circumstances (including long-term disability) that significantly disrupts teaching and scholarly activities for an extended period of time | Y | Y |

Section 2.2 ACADEMIC COUNCIL PROFESSORIATE: NON-TENURE LINE

2.2.A General Information

All members of the Non-Tenure Line faculty are members of the Academic Council of the University. (See Section 1.2.F) Because they are not in the Tenure Line, they do not accrue time toward tenure by length of service.

2.2.B Titles and Ranks in the Non-Tenure Line

The Non-Tenure Line ranks are:

Assistant Professor (Research)

Associate Professor (Research)

Associate Professor (Teaching)

Associate Professor (Performance) – use limited to appointments in the performing arts

Professor (Research)

Professor (Applied Research) – use limited to appointments at the Stanford Linear Accelerator Center (such appointments are always coterminous with continuation of contract support at SLAC)

Professor (Teaching)

Professor (Performance)

Professor (Clinical) – use limited to the School of Medicine for appointments prior to 1989

In everyday usage, the parenthetical designation may be removed from the titles of Assistant Professors, Associate Professors and Professors holding Non-Tenure Line appointments, but it must remain in the titles in personnel files, CVs, appointment and promotion papers, administrative records and other similar documents.

2.2.C Duration of Appointments

Appointments to Academic Council ranks in the Non-Tenure Line are for a term of years or for a continuing term. The usual duration of an appointment (subject to relatively rare exceptions granted by the Provost for good cause and on a case-by-case basis) for each rank is:

| Rank | Initial Appointment | Reappointment at or Promotion to |
|---|----------------------------|--|
| Assistant Professor (Research) | Up to 6 years | Renewable; however the total length of time spent in rank is not to exceed 6 years |
| Associate Professor (Research) | Up to 6 years | Renewable for an unlimited number of 6 year terms or for a continuing term |
| Professor (Research) | Up to 6 years | Renewable for an unlimited number of 6 year terms or for a continuing term |
| Associate Professor (Teaching) or (Performance) | Up to 6 years | Renewable for an unlimited number of 6 year terms or for a continuing term |
| Professor (Teaching) or (Performance) | Up to 6 years | Renewable for a continuing term |

2.2.C(1) Term of Years Appointments

Although term appointments are frequently made with the clear possibility of reappointment or promotion, there is no entitlement to such action at the end of the term and it is by no means automatic. Instead, decisions on reappointment and promotion, like decisions on initial appointment, are subject to the exercise of professional and scholarly judgment and discretion by the University's departmental faculty and academic leadership.

Appointments to the Non-Tenure Line (Research) ranks or as Professor (Applied Research), even if stated as for a term of years, are normally coterminous with continued salary and other research support from sponsored projects, or the continuation of contract support. Should such funding cease, the appointment normally would end at that same time. Although University funding beyond the point at which the faculty member's funding support terminates may be possible in certain instances, it is not an entitlement. Such situations are handled on a case-by-case basis. See Section 2.6.C regarding coterminous appointments.

2.2.C(2) Continuing Term Appointments

A continuing term appointment does not confer tenure. It provides security of appointment without requiring further formal reappointment. Continuing term appointments may be terminated for just cause or (upon proper notice) when satisfactory performance ceases or for programmatic reasons (including funding considerations).

Individual schools may adopt a schedule of periodic reviews of individuals holding continuing term appointments to evaluate performance and/or programmatic need. Although a department or school may expect a continuing programmatic need at the time of an appointment, reappointment, or promotion to a continuing term appointment, that need may change. For example, a department or school may decide to phase out a particular area altogether, or an area may simply be scaled down, decreasing the required number of faculty. Alternatively, a department or school may decide to develop or treat an existing program in ways that may require either the reassignment of duties to Tenure Line faculty, or the appointment of faculty in the Tenure Line rather than in the Non-Tenure Line.

If an Academic Council member holding a continuing term appointment is to be terminated for programmatic reasons (including funding considerations) or when satisfactory performance ceases (short of termination for those reasons stated in Article II, Section 4.4.B(1) of the *Statement of Policy on Appointment and Tenure* found in Chapter 4), he or she is entitled to fourteen months notice. (But see Section 2.8.C(1) below for special rules involving faculty members whose appointments are conterminous.)

Section 2.3 SENIOR FELLOWS AND CENTER FELLOWS IN DESIGNATED POLICY CENTERS AND INSTITUTES

2.3.A General Information

The ranks of Senior Fellow and Center Fellow were approved by the Senate of the Academic Council in 1990. Senior Fellows at designated policy centers and institutes are members of the Professoriate and the Academic Council. (See Section 1.2.F) Center Fellows at designated policy centers and institutes are members of the Professoriate but are not members of the Academic Council. While reaffirming the value of coupling academic appointments in policy centers and institutes to faculty appointments in existing academic departments, it was recognized that interdisciplinary policy centers may have needs not met by regular professorial appointments in existing departments.

The designation of policy centers or institutes authorized to appoint Senior Fellows and Center Fellows is made by the Provost, with advice from the Advisory Board of the Academic Council. In making the determination, the Provost will normally take into account such factors as the size and scope of the policy center or institute, the stability of its financial support, the number of faculty currently appointed to it, and its prospects for long-term intellectual vitality. The authority of any designated policy center or institute to appoint Senior Fellows and Center Fellows will be subject to review every ten years or at such time deemed appropriate by the Provost. The following are designated policy centers and institutes: the Freeman Spogli Institute

for International Studies, the Precourt Institute for Energy at Stanford, the Stanford Institute for Economic Policy Research, and the Woods Institute for the Environment.

The Hoover Institution on War, Revolution, and Peace also appoints Senior Fellows following its own procedures, though it is not a designated policy center or institute. Unless the individual also holds a primary appointment as a member of the Stanford Tenure Line or Non-Tenure Line faculty, or is also a Senior Fellow or Center Fellow at a designated policy center or institute, he or she is not a member of the Professoriate or the Academic Council.

2.3.B Senior Fellows

2.3.B(1) Joint appointment as Senior Fellow

Many Senior Fellows are also members of the Tenure Line or Non-Tenure Line faculty who have major roles in policy centers or institutes. Those roles are recognized by a primary appointment in an academic department or school and a joint appointment as Senior Fellow in the policy center or institute, just as a faculty member may be jointly appointed in two or more departments or schools. Standards for a joint appointment in a policy center or institute are consistent with those used for a joint appointment in a secondary academic department or school: the faculty member's involvement with the policy center or institute in terms of time, effort, and programmatic need justifies a joint appointment. The process for making a joint appointment is described in Section 2.6.B of this chapter ("Joint and Multidisciplinary Appointments"). A member of the Stanford Professoriate at any rank who holds a joint appointment as Senior Fellow holds the title *Senior Fellow at [Center or Institute]* in addition to his or her primary appointment title (e.g., *Professor of [Subject]*). The Senior Fellow appointment may be made for the duration of the faculty member's primary appointment or for a lesser period of time.

2.3.B(2) Senior Fellows Appointed Entirely in Designated Policy Centers or Institutes

Senior Fellows whose full appointments reside in a policy center or institute are members of the Professoriate and of the Academic Council. They are not, however, members of the Tenure Line faculty, and therefore do not accrue time toward tenure by length of service. As members of the Academic Council, Senior Fellows are eligible to serve as principal investigators. As with all Academic Council appointments, billet control is exercised by the Provost. Appointments and reappointments at the rank of Senior Fellow are for either a fixed term (generally with the possibility of renewal) or for a continuing term.

In general, the procedures for appointment and reappointment for Senior Fellows who do not have a primary appointment in an academic department or school are consistent with those for the rank of Professor, including review by the Provost and the Advisory Board. An individual appointed entirely in a designated policy center or institute (that is, without a concurrent primary appointment in an academic department or school) holds the title *Senior Fellow at [Center or Institute]*. A Senior Fellow may also be appointed to a courtesy position in an academic department or school, but this is not mandatory.

2.3.B(2)a Term of Years Appointments

Although term appointments are frequently made with the clear possibility of reappointment, there is no entitlement to such action at the end of the term and it is by no means automatic. Instead, decisions on reappointment, like decisions on initial appointment, are subject to the exercise of professional and scholarly judgment and discretion by the center or institute faculty and the University's academic leadership.

2.3.B(2)b Continuing Term Appointments

A continuing term appointment does not confer tenure. It provides security of appointment without requiring further formal reappointment. Individual designated policy centers and institutes may adopt a schedule of periodic reviews of individuals holding continuing term appointments to evaluate performance and/or programmatic need. Continuing term appointments may be terminated for just cause or when satisfactory performance ceases or for programmatic reasons (including financial considerations). Although a center or institute may expect a continuing programmatic need at the time of an appointment or reappointment to a continuing term appointment, that need may change. For example, a center or institute may decide to phase out a particular area altogether, or an area may simply be scaled down, decreasing the required number of Senior Fellows.

If an Academic Council member holding a continuing term appointment is to be terminated for programmatic reasons or when satisfactory performance ceases (short of termination for those reasons stated in Article II, Section 4.4.B(1) of the *Statement of Policy on Appointment and Tenure* found in Chapter 4), he or she is entitled to fourteen months' notice.

2.3.C Center Fellows

The programmatic definition for a Center Fellow appointment is developed by the center or institute director (in consultation with the Senior Fellows), and is subject to review by the cognizant dean. Most Center Fellow appointments are driven by the need for specific expertise relevant to the mission of the policy center or institute. These appointments are specific to a scholarly program and are conditioned on an evaluation of project proposals, as well as by the qualifications of the candidate.

Recommendations for the appointment of individuals to the rank of Center Fellow are made by the director of the designated policy center or institute in consultation with the unit's Senior Fellows. The cognizant dean conducts the principal review of Center Fellow appointments. This review may involve either an *ad hoc* review committee appointed for each case or a standing review committee appointed by the Dean. Billet control and prior search authorization are managed by the cognizant dean, subject to review by the Provost. The Provost retains ultimate responsibility for review of Center Fellow appointments and reappointments, and seeks the guidance of the Advisory Board as appropriate. Appointments to the rank of Center Fellow are typically for a fixed term of years and may have the possibility of renewal; reappointments are contingent on excellent performance, continued programmatic need and availability of funding. Center Fellows are not appointed to continuing term appointments.

2.3.C(1) Joint Appointment as Center Fellow

A member of the Professoriate at any rank may hold a joint appointment as Center Fellow, while holding a primary departmental or school appointment. Such individuals may be appointed to a joint or secondary appointment as a Center Fellow rather than as a Senior Fellow, if such rank is consistent with their intended programmatic role, or if the purpose of the appointment is to carry out a specific scholarly project. An individual appointed in this manner may be a member of the Academic Council Professoriate by virtue of his or her primary academic appointment.

A member of the Professoriate at any rank who holds a joint appointment as Center Fellow holds the title *Center Fellow at [Center or Institute]* in addition to his or her primary appointment title (e.g., *Assistant Professor of [Subject]*). The criteria for recommending a joint appointment of a member of the Professoriate as a Center Fellow are consistent with those used for joint appointments in an academic department or school: the faculty member's involvement with the policy center or institute in terms of time, effort, and programmatic need justifies a joint appointment. The Center Fellow appointment may be made at the time of initial appointment.

To appoint an individual who is already a member of the Professoriate, an *Amendment of Professorial Appointment* form (Appendix C) must be submitted for review and approval to the Provost; the form must describe the basis for the changed status and the expected duration of the appointment, and contain signatures of the director of the policy center or institute, the cognizant dean, and the individual's department Chair and Dean. Salary and other support for the Center Fellow will be shared between the academic department or school and the institute.

2.3.C(2) Center Fellows Appointed Entirely in a Specified Policy Center or Institute

A Center Fellow may be appointed entirely in a designated policy center or institute without a concurrent primary appointment in an academic department or school. An appointment of this type does not confer membership in the Academic Council; therefore, the individual is eligible to serve as principal investigator only by exception.

An individual appointed entirely in the center or institute holds the title *Center Fellow at [Center or Institute]*. Appointment criteria and procedures are generally consistent with those used for appointment to the regular faculty. However, since Center Fellows are not Academic Council members and since they are appointed on the basis of specified programs of research, exact comparability is neither possible nor desirable.

Section 2.4 MEDICAL CENTER LINE PROFESSORIATE

2.4.A General Information

Medical Center Line faculty (often referred to as "MCL faculty") are members of the Professoriate and are subject to and covered by applicable faculty policies and procedures, including, but not limited to: the *Statement on Academic Freedom*, the *Statement on Faculty Appeal Procedures*, the *Statement on Faculty Discipline*; the general spirit of the *Statement on*

Appointment and Tenure; and certain policies found in the [Research Policy Handbook](#), including, but not limited to, eligibility for principal investigatorship, intellectual property, and conflicts of commitment and interest.

Medical Center Line faculty are not members of the Academic Council. Because they are not in the Tenure Line, they do not accrue time toward tenure by length of service. They are voting members of the Faculty Council of the School of Medicine. They are eligible to vote on departmental and school matters according to departmental and school policies, and they may serve on faculty committees, except for those that require Academic Council membership.

Additional information relevant to members of the Medical Center Line is available from the Office of Academic Affairs in the School of Medicine.

2.4.B Titles and Ranks in the Medical Center Line

The Medical Center Line ranks are:

Assistant Professor at [specified medical center]

Associate Professor at [specified medical center]

Professor at [specified medical center]

For example, a typical title would be “Professor of Surgery at the Stanford University Medical Center.” For everyday usage, the designation of the specified medical center may be removed from the titles of Assistant Professors, Associate Professor and Professors holding Medical Center Line appointments, but it must remain in the titles in official University publications, CVs, personnel files, appointment, reappointment and promotion papers, administrative records and other similar documents.

2.4.C Duration of Appointments

Appointments to Medical Center Line faculty ranks are for a term of years or for a continuing term. The usual duration of an appointment (subject to relatively rare exceptions granted by the Provost for good cause and on a case-by-case basis) for each rank is:

| Rank | Initial Appointment | Reappointment or Promotion |
|---------------------------|----------------------------|--|
| Assistant Professor (MCL) | Up to 4 years | Renewable generally for 6 years for a maximum of 10 years in rank |
| Associate Professor (MCL) | Up to 5 years | Renewable generally for an unlimited number of up to 5 year terms |
| Professor (MCL) | Up to 5 years | Continuing term or unless otherwise expressly specified (for special circumstances for which an appointment for a term of years is appropriate). |

2.4.C(1) Term of Years Appointments

Although term appointments are frequently made with the clear possibility of reappointment or promotion, there is no entitlement to such action at the end of the term and it is by no means automatic. Instead, decisions on reappointment and promotion, like decisions on initial appointment, are subject to the exercise of professional and scholarly judgment and discretion by the University's departmental faculty and its academic leadership.

2.4.C(2) Continuing Term Appointments

A continuing term appointment does not confer tenure. It provides security of appointment without requiring further formal reappointment. Continuing term appointments may be terminated when satisfactory performance ceases or for programmatic reasons (including funding considerations). Funding considerations may be evaluated in the context of the clinical program as a whole and/or of the individual's contribution.

Individual departments or the school may adopt a schedule of periodic reviews of individuals holding continuing term appointments to evaluate performance and/or programmatic need. Although a department or the school may expect a continuing programmatic need at the time of an appointment, reappointment, or promotion to a continuing term appointment, that need may change. For example, a department or the school may decide to phase out a particular area altogether, or an area may simply be scaled down, decreasing the required number of faculty. Alternatively, a department or the school may decide to develop an existing program in ways that may require either the reassignment of duties to Tenure Line or Non-Tenure Line faculty, or the appointment of faculty in the Tenure Line or Non-Tenure Line rather than in the Medical Center Line.

If a Medical Center Line faculty member holding a continuing term appointment is to be terminated for reasons of programmatic need or when satisfactory performance ceases (short of termination for those reasons stated in Article II, Section 4.4.B(1) of the *Statement of Policy on Appointment and Tenure* found in Chapter 4), he or she is entitled to fourteen months notice.

Section 2.5 EXTENDING TERM APPOINTMENTS

2.5.A Circumstances That May Extend Appointments In The Tenure Line

See Sections 2.1.D(2) and 2.1.E for circumstances that may extend the seven year tenure clock deadline and the ten year appointment clock deadline for Tenure Line appointments, and the process for extending appointments in those circumstances.

2.5.B Circumstances That DO NOT Extend Appointments In The Non-Tenure Line, The Medical Center Line And For Senior Fellows

Pregnancy Disability Leave: Pregnancy Disability leave is short-term pregnancy disability leave for the period of time before and after childbirth during which a faculty member is relieved of all normal University responsibilities. Pregnancy disability leave does not extend the appointment. See Chapter 3, Sections 3.5.A and 3.5.C for more information about pregnancy disability leave and childcare leave.

Short Term Disability Leave: Short term disability leave does not extend the appointment.

Sabbatical Leave: The sabbatical leave program is provided to free faculty members from their normal University duties, enabling them to pursue their scholarly interests full time and maintain their professional standing so that they may return to their posts with renewed vigor, perspective, and insight. Periods of sabbatical leave do not extend the appointment regardless of the percentage of sabbatical pay during the leave.

Leave For Periods Of Pure Research: A pure research period is defined as a designated leave from teaching and other institutional responsibilities during which the faculty member receives full or partial salary through Stanford, normally from sponsored research. Such periods when a faculty member is receiving full salary, whether from sponsored research or a combination of sponsored research and regular sabbatical or other pay, do not extend the appointment.

Administrative Appointments: Administrative appointments do not extend the academic appointment.

2.5.C Circumstances That MAY Extend Appointments In The Non-Tenure Line, The Medical Center Line And For Senior Fellows

Part -Time Appointments: In the event a full time appointment is converted to a part-time appointment, the part-time appointment may be extended on a prorated basis.

Leave Without Salary: Any period of leave from service (including childcare leave and Family Medical Care Leave) that is completely without salary extends the appointment for the duration of the authorized leave unless there is advance written agreement by the Provost to the contrary. Periods of partial leave without salary extend the appointment on a proportional basis.

New Parent Extension: A faculty member who becomes a parent, by birth or adoption, is entitled to a one-year extension of his or her appointment. The extension of the appointment is not tied to the number of weeks the faculty member is on pregnancy disability leave, whether he or she requested a reduced teaching or clinical load (see Section 3.5.B), or whether he or she subsequently takes a leave without salary for childcare purposes. The extension applies even if a faculty member becomes a parent during an off-duty quarter (such as summer quarter) and returns immediately to his or her regular work load.

To initiate the extension process, the faculty member must submit the form found at <http://facultyhandbook.stanford.edu/> to his or her Department Chair or to the School Dean's Office for Schools without departments. If a request is submitted during the final year of the faculty member's appointment, the request must be submitted prior to the commencement of the faculty member's reappointment or promotion review. The reappointment or promotion review commences when the department chair or dean informs the candidate in writing that the review process has commenced. The School will then advise the Provost's Office through the submission of a *Recommendation for Amendment of Professorial Appointment* form (Appendix C) and provide revised appointment clock calculation for the faculty member.

Childcare Leave: Childcare leave is leave without salary that may be taken by any faculty members, male or female, who becomes a parent by birth or adoption, and it does extend the appointment.

Other Personal Circumstances: Short term disability and pregnancy disability do not extend the appointment, as the faculty member is relieved from duties for a relatively short period of time. However, in cases of extended leaves without service, such as long-term disability or other similar personal circumstances that significantly disrupt teaching and scholarly activities for an extended period, faculty should contact their Dean's Office to explore potential extensions of their appointments through a Provostially-granted exception.

2.5.D Process For Extending Appointments

The existence of the circumstances described above that may extend an appointment does not automatically extend the individual's appointment. This must be accomplished through the normal processes, with the submission of a *Recommendation for Amendment of Professorial Appointment* form (Appendix C) by the department and/or school. Recommendations to extend appointment terms under these circumstances will ordinarily be granted. Faculty members with questions about extensions to term appointments should contact their Dean's Office or the Provost Office's Faculty Affairs group.

Section 2.6 SPECIAL APPOINTMENT DESIGNATIONS AND CONSIDERATIONS

2.6.A “Subject to Ph.D.” Appointments

Individuals may be appointed to the Tenure Line rank of Assistant Professor with a “Subject to Ph.D.” contingency. Appointment with this designation provides notice that the offer of appointment as a Tenure Line Assistant Professor is made as a result of the standard search and review process and depends upon the candidate’s successful completion of the terminal degree requirements. Although the individual may carry out many of the responsibilities and duties of a regular Assistant Professor, the individual is not a member of the Academic Council while this contingency exists; therefore he or she is eligible to serve as principal investigator only by exception. Individuals holding appointments “Subject to Ph.D.” do not accrue time toward tenure by length of service.

If an individual is being recommended for an Assistant Professorship in the Tenure Line with the contingency “Subject to Ph.D.,” that qualification must be included in the title designation on the professorial recommendation form. The “Subject to Ph.D.” designation may be removed upon receipt of official confirmation from the dean or registrar at the individual’s university stating that all requirements for the Ph.D. have been completed and the degree has been granted. The school in which the individual is appointed must prepare a *Recommendation for Amendment of Professorial Appointment* form (Appendix C), and supply the confirming documentation. Upon approval by the Provost, the Assistant Professor’s appointment begins.

2.6.B Joint and Multidisciplinary Appointments

2.6.B(1) General Principles for Joint Appointments

As a general principle, all professorial appointments are to be: in departments (or in schools without departments); held jointly between a department and a specified policy center or institute; or held between two departments. A joint appointment may be made when a faculty member makes a major contribution in terms of time, effort and programmatic need to the academic programs of two or more departments, schools or institutes. This contribution should be on a continuing basis and judged to be sufficiently significant for the joint appointee to have voting privileges in both (or all) of the units in which the appointment resides. These units frequently share salary or other support and may share in the tenure commitment. In all joint appointments, even those that are divided evenly between two units, one unit is designated as “primary” and the other as “secondary.” The primary and secondary designations are made at the time the joint appointment is initiated and may be changed with the unanimous consent of the faculty member, the relevant department Chairs, institute directors, and school Deans.

Faculty holding joint appointments are expected to carry a normal load of teaching, administrative, and leadership responsibilities. The precise nature of those responsibilities will depend on the roles the faculty are expected to play in the departments, schools, or policy institutes to which they are appointed. The Chairs (or Deans or directors, as applicable) of the relevant academic units should consult on these matters.)

2.6.B(2) Searches for Joint Appointments

Although searches may be conducted by a single department or school, they can also be conducted more broadly across several departments or schools, or by one or more departments using a joint billet, which may be joint between a specified policy center or institute and a department or school.

Faculty searches are generally conducted (or overseen, in the case of broad-based searches) by the group requesting the search. The search committee should be composed of faculty from both departments and the relevant institute. For initial appointments that are joint between an institute and a department, the votes of the institute and department should occur separately. For new hires, both the institute and department must vote positively.

2.6.B(3) Initial Joint Appointments

Joint appointments are typically made at the time of initial appointment. The appointment files should include a description of the candidate's anticipated role in both departments, and appointment forms are signed by both department Chairs and Deans.

Occasionally, a faculty member's involvement with another department will increase over time to the point that a joint appointment seems appropriate. In such a case, the joint appointment is recommended on a *Recommendation for Amendment of Professorial Appointment* form (Appendix C), signed by both department Chairs and Deans. The form should include a description of the basis for the change and relevant billet arrangements.

Joint appointments for untenured and Non-Tenure Line faculty on term appointments are normally for the duration of the appointment. For tenured faculty, the joint nature of the appointment should normally be without limit of time. Similarly, for Non-Tenure Line faculty on continuing terms of appointments, the joint nature of the appointment should normally be for a continuing term.

2.6.B(4) Joint Appointments, Reappointments, Promotions and Tenure Reviews

2.6.B(4)a In Academic Departments and/or Schools

For reappointments, promotions, and tenure reviews of faculty holding joint appointments, the following process is to be used. Its purpose includes addressing the situation in which one department votes positively and the other negatively on a reappointment, promotion, or tenure review.

The primary department or school carries out the full reappointment, promotion or tenure review, although it is expected that the departmental review committee will include faculty from the secondary department. A joint meeting of the two departments to discuss the candidate is encouraged but not mandated.

The two departments should vote separately. The primary department votes on the reappointment, promotion or granting of tenure and, if the vote is positive, forwards the recommendation to the primary school Dean. If the primary school Dean recommends the reappointment or promotion, then the secondary department or school votes on the recommendation. If the secondary department or school recommends continuing the joint appointment, the file is forwarded to the Provost as a joint appointment. If the secondary department or school decides against continuing the joint appointment, the recommendation is forwarded to the Provost as a full-time appointment in the primary department or school.

Except in the case of the promotion of a previously tenured associate professor to the rank of professor, if the primary department recommends negatively, it is expected that the individual's professorial appointment will end. However, the second department or school, at its discretion and if billet, salary and other necessary resources are available, may undertake a full evaluation process. If the result of this evaluation is positive, and if the reappointment, promotion or granting of tenure subsequently receives final University approval, the appointment becomes full-time in the formerly secondary department and/or school.

2.6.B(4)b In Designated Policy Centers and Institutes

For tenure reviews (as well as reappointment and promotion reviews) of faculty appointed jointly to a department (or school) and to a designated policy center or institute, as defined in Section 2.3.A of this Chapter, there should be a single review committee with membership from both the department and the institute. The committee is expected to solicit feedback from colleagues around the University, including faculty affiliated with the institute. It is expected that the institute director will be invited to write for the file. When the case is sent to the department for consideration, the department is encouraged to invite colleagues from the institute to the departmental discussion of the case.

The department votes on the file. Since the institute does not have the authority to confer tenure, it must vote after the department/school vote. The institute's vote determines whether or not to continue its portion of the appointment. If an institute vote is negative following a positive departmental vote, the individual becomes fully billeted within the department, which then has up to five years to return the institute portion of the billet and salary line to the institute.

Except in the case of the promotion of a previously tenured associate professor to the rank of professor, if the primary department recommends negatively, it is expected that the individual's professorial appointment will end. However, the institute, at its discretion and if billet, salary and other necessary resources are available, may undertake a full evaluation process for a reappointment as Senior Fellow or Center Fellow. If the result of this evaluation is positive, and if the reappointment subsequently receives final University approval, the appointment becomes full-time in the institute.

If an institute and a department vote positively on a joint tenured appointment, then both share the responsibility for the tenure guarantee; neither the institute nor the department can unilaterally elect to discontinue its share of a joint tenured appointment. In the event that the

institute ceases to exist, the billet will go to the department for the duration of the appointment. When the billet is no longer filled, it will be returned to the Provost.

2.6.C Coterminous Appointments

Appointments can be made coterminous with specified circumstances, such as continued salary or other support from sponsored projects, or an administrative appointment at Stanford or an affiliated institution.

When an individual is being recommended for such an appointment, department Chairs and Deans are to note the coterminous nature of the appointment in the recommendation. Examples of such appointments include, but are not limited to:

- Non-Tenure Line (Research) appointments;
- Tenure Line SLAC appointments;
- Certain School of Medicine appointments (including Tenure Line) with assignments at the Veterans Affairs Palo Alto Health Care System, the Northern California Cancer Center, Santa Clara Valley Medical Center, and the Palo Alto Medical Foundation;
- Tenure Line appointments for the Directors of the Carnegie Institute for Plant Biology, the Carnegie Institute for Global Economics, and the Monterey Bay Aquarium Research Institute; and
- Appointments with an administrative assignment at Stanford or an affiliated institution.

Individuals with appointments that are coterminous with support from sponsored projects or from an affiliated institution (e.g., “coterminous with continuation of contract support at SLAC”) are not subject to the same provisions for notice of non-renewal as appointees whose appointments are not coterminous. As a general rule, the appointment (even if for a term of years or for a continuing term) ends at the same time the funding and/or other support or administrative assignment ceases. Although University funding beyond the point at which the faculty member’s support terminates may be possible in certain instances, it is not an entitlement. Such situations are handled on a case-by-case basis, as are cases when a reduction (as opposed to a complete cessation) of the faculty member’s support will result in the immediate termination of the appointment.

Questions concerning the applicability of the coterminous designation should be directed to the Provost’s Faculty Affairs Office.

2.6.D Part-time Appointments

University policy allows appointment of faculty members at any rank on a part-time basis, although such appointments are in general discouraged because a large number of part-time appointments within any one department could weaken its academic program. The University does look favorably, however, upon family-related needs as a possible justification for granting temporary reductions from full-time to part-time status, such as when the part-time status is expected to exceed the limit of permitted leave.

2.6.D(1) Criteria for Appointments

The criteria relating to full-time appointments, reappointments and promotions likewise apply to part-time appointments, reappointments and promotions.

2.6.D(2) Tenure Clock

Individuals appointed at part-time to a Tenure Line untenured appointment in general accrue time toward the acquisition of tenure on a prorated basis as set out in Section 2.1.D(2)c of this chapter.

2.6.D(3) Responsibilities

Those holding part-time appointments are expected, consistent with any policies established in individual schools, to participate as full colleagues making proportional contributions to the life of the department or school, including service on committees and advising of students. An appointment of fifty percent time or more is usually necessary if the faculty member is to contribute to the academic program in the manner described above. Although this is an operational guideline rather than an absolute limit, recommendations for appointment at less than fifty percent time are to indicate the circumstances requiring an exception to this guideline, the expected duration of such an exception, and whether the faculty member has been informed of the impact on benefits eligibility, the tenure clock, and sabbatical accrual.

2.6.D(4) Increasing Percentage of Time

The security of an appointment or tenure for part-time service applies only to the specific fraction stated in the most recently approved appointment action. If the appointment is for less than full-time, increasing the fraction of time to which the security of appointment applies requires the submission of a recommendation for reappointment at the newly proposed level of service. It is possible, of course, to increase the percentage of time actually served for short periods of time above the level specified on the appointment form, in which case supplementary pay would support the additional level of service (just as full-time appointees receive supplementary pay for fourth-quarter service).

2.6.D(5) Accrual of Sabbatical Eligibility

Sabbatical eligibility is accrued by those holding a part-time appointment on a prorated basis as set out in Section 3.2.D of Chapter 3.

2.6.E Courtesy Appointments

2.6.E(1) General Principles

Faculty members often make substantial contributions to departments other than their own, but in ways less formal than would justify a joint appointment. These contributions are sometimes recognized by means of courtesy appointments. There is usually no commitment of funds, space

or other support involved in a courtesy appointment, and the faculty member has no voting privileges in the courtesy department. Courses taught by faculty members holding courtesy appointments are often cross-listed in both the primary and courtesy departments, if the course topic warrants it.

2.6.E(2) Appointment Process

If a candidate for a new appointment is also being recommended for a courtesy appointment, the courtesy title should be included in the professorial title. The dates of the courtesy appointment must be indicated on the appointment form. The Chair of the courtesy department and the school Dean should submit the form recommending initial appointment at the University.

A recommendation to appoint an existing member of Stanford's professoriate to a courtesy appointment is initiated by the department or school wishing to offer it; the primary department or school may not initiate a courtesy appointment in another department or school. Recommendations should include background that justifies the courtesy appointment. The recommendation is submitted to the Provost on the *Recommendation for Amendment of Professorial Appointment form* (Appendix C). The appointment form must be signed by the Chairs and Deans of both the primary department and school and the courtesy department and school.

2.6.E(3) Duration of Courtesy Appointment

A courtesy appointment may be for the duration of the current professorial appointment or for a shorter period of time. Departments and schools are encouraged to make courtesy appointments for the longest reasonable period. For tenured faculty, a minimum of three years is a reasonable guideline. For faculty members holding a term appointment, the typical length of time would be for the duration of the individual's current appointment; the courtesy appointment may not extend beyond the end date of the faculty member's primary appointment.

2.6.E(4) Courtesy Rank and Title

A courtesy appointment is made at the same rank as the faculty member's primary appointment. The title of a faculty member who has been appointed to a courtesy appointment should read *[Primary rank] of [Subject] and, by courtesy, of [Subject]*. When an individual who holds a courtesy appointment is promoted to higher rank or granted tenure, the courtesy appointment must be renewed by means of a recommendation originating from the courtesy department by submitting a *Recommendation for Amendment of Professorial Appointment form* (Appendix C).

2.6.F Appointments to Endowed Professorships

An endowed professorship (also referred to as an endowed chair) is one of the highest honors bestowed on a member of the faculty. This prestigious appointment recognizes his or her many outstanding accomplishments and contributions. When a gift is made to the University for the endowment of a professorship, the donor frequently stipulates the school, department, and/or general interest area. The donor may not, however, stipulate a specific faculty member to hold

the endowed professorship. The process for designating a faculty member for an endowed professorship begins with a recommendation from the school Dean to the Provost, who evaluates and approves the recommendation. The recommendation may be for a term of years, tied to a particular administrative appointment, in a manner consistent with the needs of the School and the donor's intentions, or for an unspecified period of time. The endowed chair holder holds his or her endowed professorship at the pleasure of the Provost. The President reports the appointment of endowed chair holders to the Board of Trustees.

2.6.G Recall of Emeriti Faculty to Active Duty

2.6.G(1) Emeritus Status

Faculty members who become official university retirees receive the emeritus or emerita title authorized by the Board of Trustees and become senior members of the Academic Council with privileges of the floor and of service on committees, but without the right to vote or hold office (see Chapter 5 of this Handbook for a more complete description of retirement and the emeritus/emera designations).

Retirement of faculty facilitates change and creates opportunities for new faculty. At the same time, emeriti faculty members often have much to contribute to their departments and academic disciplines. Departments (and schools without departments) must weigh these factors when considering recalling an emeritus faculty member to active duty for the purpose of teaching or research.

2.6.G(2) Duration of Emeritus Recall to Active Duty

An emeritus faculty member may be recalled to active university service on a part-time or full-time appointment for a period up to one year, subject to renewal. Recall appointment recommendations should be initiated by the faculty member's primary department and should be based on departmental needs that cannot otherwise be met by regular faculty, and consideration must be given to an individual's ability to carry out the proposed duties and the availability of existing space and other resources within the department or school. Individual schools and departments may have their own policies and practices with regard to available space and other resources. Faculty members retiring under the Faculty Retirement Incentive Plan may be recalled under the specific terms set forth in that plan. See <http://provost.stanford.edu/frip/>.

A faculty member may be recalled to serve in a unit other than his or her primary department; however, the primary department must approve the recall appointment. The primary department and the unit recalling the faculty member are responsible for ensuring the faculty member meets his or her obligations during the recall appointment.

2.6.G(3) Appointment Process

The anticipated role, funding source and duration of the recall is described on the *Recommendation for Amendment of Professorial Appointment* form (Appendix C) prepared by the department, which is then reviewed and approved by the Dean and submitted to the Provost.

2.6.G(4) Intended Role

2.6.G(4)a Privileges

The department is responsible for determining the extent of the individual's participation in departmental affairs, which will vary from department to department. By its nature, however, an emeritus recall appointment does not permit the same status within departments as does a regular faculty appointment. For example, retired faculty, whether recalled or not, are not asked to vote on appointments, reappointments or promotions. If it is in the department's interest to have them participate in such a decision, it should be in an advisory role.

2.6.G(4)b Research Responsibilities

If the recall is for research purposes, the recommendation should describe how the appointment will support or enrich the research and graduate education goals of the department. Emeriti faculty recalled to active duty are eligible to act as principal investigators on sponsored projects, provided such activities are within the department's intended role for the individual. The project must not exceed the duration of the recall period and the department must be willing to accept responsibility for meeting obligations to students and staff associated with the research, as well as the contractual obligations, in the event of the principal investigator's inability to do so.

2.6.G(4)c Teaching Responsibilities

If the intended role is teaching, the recommendation should include an assessment of the individual's current teaching effectiveness, as well as an explanation of the circumstances warranting the appointment. Emeriti faculty may serve on doctoral dissertation reading committees without being recalled to active duty; they may also serve as the principal dissertation adviser with a regular member of the Academic Council as a co-adviser (see *Stanford Bulletin* "Doctoral Dissertation Reading Committee" <http://www.stanford.edu/dept/registrar/bulletin/bulletin05-06/pdf/GraduateDegrees.pdf>).

2.6.G(4)d Administrative Responsibilities

Under special circumstances, the President or Provost may recall an emeritus faculty member for a period in excess of one year to perform specific administrative duties.

Section 2.7 APPOINTMENT, REAPPOINTMENT AND PROMOTION PROCEDURES

2.7.A General Appointment Procedures

Appendix B of this handbook contains the forms used throughout the University for faculty appointments, reappointments and promotions. The current versions of the forms are available on-line at <http://facultyhandbook.stanford.edu/b.html>. These forms include detailed descriptions of the evidence required and evaluative criteria employed for each action, and deserve study by all faculty. These forms may be modified from time to time; users are encouraged to obtain the currently applicable version of the relevant form on-line. Additionally, deans and department

chairs are reminded that consideration of appointment, reappointment and promotion cases should include a thoughtful assessment of the future of the department and/or school, and may take into consideration programmatic need in addition to the merit of the candidate.

2.7.B Additional Policies and Procedures

There are additional policies and procedures applicable to specific departments and schools, including school-specific supplementary criteria for appointments, reappointments, and promotions that have been approved by the Provost's Office as consistent with overall University policy. These may be obtained from the school faculty handbook, from the department Chair or school Dean, or from the school's website.

2.7.C Searches and Search Waivers

Stanford's appointment procedures are designed so that each prospective member of the faculty will be suitable for appointment at Stanford and the best available person for the proposed appointment in a broadly defined field.

2.7.C(1) Searches

A rigorous and comprehensive search is required for new appointments to the Stanford Professoriate. When a department or school receives authorization to appoint a new faculty member, the department Chair or Dean should appoint a search committee to carry out the search in a broadly defined field.

The search committee should advertise the position publicly in addition to using other appropriate methods of candidate solicitation. Letters describing the position should be sent to institutions of higher education and other institutions that are likely to provide a suitable candidate.

All searches should engage actively in affirmative action in the search process; professional colleagues should be contacted to solicit names of female and minority candidates (as well as others who would bring diversity to the professoriate) and such candidates should be encouraged to apply. Contacts should be made with resources such as female and minority professional organizations and journals so that such groups are alerted to the search.

Advertisements and letters announcing vacancies must include a statement such as:

“Stanford University is an equal opportunity employer and is committed to increasing the diversity of its faculty. It welcomes nominations of and applications from women and members of minority groups, as well as others who would bring additional dimensions to the University's research, teaching and clinical missions.”

The Office of the Provost makes available to each Dean's office availability pool data regarding potential candidates in various disciplines. Search committees are encouraged to obtain this

information and seek the assistance of the Faculty Development and Diversity Office <http://facultydevelopment.stanford.edu/>.

Departments must retain complete records of each search, including vitae of applicants, for at least three years.

2.7.C(2) Affirmative Action

Stanford University is an institution dedicated to the pursuit of excellence. Central to that premise is the institutional commitment to the principles of diversity and affirmative action, as well as to equal opportunity. In that spirit, Stanford prohibits discrimination and harassment and seeks to provide equal opportunity for all employees and applicants for employment regardless of race, color, religious creed, national origin, ancestry, sex, sexual orientation, gender identity, veteran status, marital status, age, disability, or any other trait or status protected by applicable law.

A simple policy of equal employment opportunity may, however, not suffice to attract a diverse applicant pool to our campus. Some barriers unfortunately persist in our society and require the more active responses characteristic of affirmative action for locating and recruiting applicants. Hiring decisions that appear to have been reached neutrally may, in fact, be discriminatory if the applicant process is not equally accessible to (for example) women and minority group members.

The University does not sacrifice job-related standards when it engages in affirmative action. The best-qualified person for a given position must always be hired; that is the essence of equal opportunity. Affirmative action simply asks us to cast our net more widely to broaden the competition, so as to include in the applicant pool groups that have historically been underrepresented in certain roles in our society.

Stanford University is particularly committed to enhancing the diversity of its faculty. This commitment is based, first and foremost, on the belief that a more diverse faculty enhances the breadth, depth, and quality of research and teaching by increasing the variety of experiences, perspectives, and scholarly interests among the faculty. A diverse faculty also provides a variety of role models and mentors for the increasingly diverse student population, which helps to attract, retain and graduate such populations more successfully.

The President and Provost have emphasized Stanford's continuing interest in and commitment to increasing the diversity of the faculty. See for example: *Building on Excellence: Guide to Recruiting and Retaining an Excellent and Diverse Faculty* (2008). The primary mechanisms for accomplishing this are through vigorous outreach and recruiting at the time of initial hiring. Affirmative Action at Stanford does not include applying separate standards at the time of review for reappointment or promotion.

Faculty searches are obligated to make particular efforts to seek out qualified candidates who would bring diversity to the professoriate, including women and ethnic minority candidates, and to evaluate such candidates. It is the obligation of the search committee to demonstrate that a search has made a determined effort to locate and consider such candidates. Department Chairs

and Deans have the responsibility to make sure that these obligations have been fulfilled. Search committees are encouraged to seek the assistance of the Faculty Development Office.

2.7.C(3) Candidates with Disabilities

Qualified individuals will not be excluded from consideration by reason of disability, in accordance with the Americans with Disabilities Act of 1991 and Sections 504 and 503 of the Rehabilitation Act. Following offer and acceptance of a position, the school and the Provost's Office will upon request by the candidate discuss such reasonable accommodations as may be required by and appropriate for a candidate who is disabled. (See University Administrative Guide Memo 23.5.) In addition and at any time during a faculty member's appointment, a faculty member who requires reasonable accommodation for a disability is urged to contact his or her chair or departmental or school Faculty Affairs Office or the University's ADA/Section 504 Compliance Officer. See <http://www.stanford.edu/dept/diversityaccess/>

2.7.C(4) International Candidates

Before undertaking the appointment of a faculty member who is a citizen of another country, immigration regulations and procedures should be reviewed. The Bechtel International Center provides expertise on visa matters for foreign nationals, advises in matters regarding immigration laws and regulations, and issues visa authorizations and other visa documents for the University. Information about the Bechtel International Center and its services may be found on-line at <https://www.stanford.edu/dept/icenter/index.html>.

For candidates who are not U.S. citizens or permanent residents, departments and schools should contact the International Center early to begin arrangements for visa authorizations for foreign nationals residing abroad or in the United States. (It should be noted that some candidates currently in the United States completing graduate programs may have a visa status that precludes direct conversion to a visa status appropriate for faculty appointments.)

2.7.C(5) Search Waivers

On occasion, the Provost may approve a search waiver for a professorial position when an exceptionally talented person (usually an eminent scholar who is clearly a leader in his or her field) is unexpectedly available. The existence of such a target of opportunity may become known in the course of a regular search, through communication via professional channels, or even by the individual making it known that he or she is available.

Other potentially appropriate uses of a search waiver for a professorial position may include: for a scholar who would bring diversity (broadly defined) to the school or department; for a transition between faculty lines where there is evidence that the individual's activities and stature have evolved; or for a spousal appointment. Search waivers for junior faculty appointments are granted only in extraordinary circumstances. There may be rare programmatic reasons that warrant a search waiver; inquiries should be addressed to the Provost's Office.

A request to waive the search requirement for a professorial appointment must present to the Provost convincing evidence that the candidate would have emerged as the leading candidate if there had been a search in the candidate's field. To the extent possible, the request should be substantiated by comparative evaluations (from external and/or internal referees) and evidence of the candidate's significant accomplishments. In addition, a rigorous review of the candidate's qualifications is expected in the subsequent preparation of the appointment recommendation.

2.7.D Transitions Between Faculty Lines

Recommendations resulting in transitions between faculty lines are considered new appointments and occur infrequently. If a full search is not conducted, a search waiver is required. The appointment file should contain information that distinguishes the faculty member's current and future roles and responsibilities; in particular, it should explain the necessity for the proposed appointment. Assertions that the candidate deserves the recommended appointment for meritorious service or time in rank are not sufficient justifications, since they do not show that the person is the best available candidate for the new position.

Persons who hold or have held acting or visiting titles at Stanford or who have been at the University in other capacities occasionally become candidates for regular professorial appointments. The search committee is obliged to assemble evidence concerning candidates having prior association with the University in the same manner as for external candidates; this obligation should be made clear to candidates who hold or have held Stanford appointments.

2.7.E Review of Recommendations for Appointment, Reappointment or Promotion

2.7.E(1) Review by the Provost

Recommendations for appointments, reappointments, and promotions are forwarded from the Dean to the Provost for his or her independent review and decision. Recommendations are reviewed by the Provost in consultation with University officers and members of the Provost's staff. This step in the review process is intended to evaluate and confirm the school's judgment: that the recommended action is a suitable one; that there has been (where appropriate) a satisfactory comparative search; that the documentation is complete; and that prescribed procedures have been followed. The Provost can obtain additional information to help assess the action. He or she can then make a favorable decision, a negative decision, or remand the case to the department or school for further information or consideration.

2.7.E(2) Review by the Advisory Board

If the Provost's view is favorable, the next step in the process (in general) is for the Provost to submit the case to the Advisory Board of the Academic Council for its review. The powers and functions of the Advisory Board are described in the Articles of Organization of the Academic Council. The Advisory Board normally assigns at least two, and sometimes more, of its members to read each file. The case is reviewed for adherence to procedural requirements, completeness of documentation, conformance with academic standards, and suitability. Occasionally, the Advisory Board may request additional information before voting on a recommendation or may

table the matter for review by each member of the Board. After considering any issues raised by the assigned readers, the Advisory Board votes on the proposed action.

The Provost may also ask the Advisory Board for informal advice on a file, in which case no vote is taken until the case is submitted formally by the Provost to the Advisory Board.

At the end of each Advisory Board meeting, the members report to the Provost and request additional follow-up, as necessary. Because the Advisory Board advises the President, the list of recommendations approved by the Advisory Board is forwarded by the Advisory Board Chair to the President for his or her final review and approval. A list of recommendations not approved by the Advisory Board is forwarded by the Chair to the President for his or her further consideration.

2.7.E(3) Review by the President

The President, who makes the final decision, can choose to accept or not accept the recommendation by the Advisory Board. The President can obtain additional information on the file. He or she can make a favorable decision, a negative decision, or remand the case to the department or school for further information or consideration. Approved actions are incorporated into the President's Report to the Board of Trustees.

2.7.E(4) Announcement

Official notification of a successful appointment, reappointment, or promotion is contained in a letter from the Provost to the candidate. Deans, department chairs, and faculty members are often under pressure to offer assurances before the President renders his final decision, but this pressure should be resisted. Candidates should be generally informed of the University's procedures and schedule for consideration of recommendations. Deans and department chairs, however, may report to the candidate in general terms on progress of the recommendation through the various stages and may indicate when final action may be expected.

2.7.E(5) Effective Date

The normal term of appointment commences on September 1 and, unless without limit of time or for a continuing term, ends August 31. However, appointments may be made effective on the first of the month following final approval by the President. The Provost is unlikely to consider retroactive appointments.

2.7.F Confidentiality

The entire appointment, reappointment, or promotion proceedings during which specific candidates are discussed are to be held in strict confidence by all participants. It is Stanford's policy to protect vigorously the sources of information and evaluations used in these proceedings. The opinions expressed by the school or department faculty or by internal or external referees or reviewers shall not be discussed with the candidate or with other parties, except when necessary for University review of the process. The Dean or the Chair of the

department (or his or her designee) shall convey whatever information needs to be transmitted to the candidate. A breach of confidence by a participant in an appointment, reappointment, or promotion case is a serious breach of professional ethics and may subject the individual to discipline, among other consequences.

The University takes extensive measures to protect the privacy of the candidate by preserving the confidentiality of the information it receives regarding the candidate. The University also expects that candidates will similarly respect the confidentiality of the process. Candidates should not request or seek to discover confidential information from individuals within or outside the University who may be involved in the review process, either while the process is underway or after it has concluded. Any questions regarding the process, its timing, or its eventual outcome, should be discussed with the department Chair or Dean.

2.7.G Appointments at Other Institutions

A faculty member, regardless of his or her percentage of appointment, is normally not permitted to accept or hold a regular faculty or administrative position at another educational institution. This is true regardless of whether the faculty member is on regular duty at Stanford, on sabbatical, or on leave without salary. (While on sabbatical or leave without salary, a faculty member may accept a *visiting* professor appointment at another educational institution.) If a member of Stanford's professoriate wishes to accept a regular faculty or administrative position at another educational institution, he or she will normally be required to resign from the Stanford faculty; a leave of absence for such a purpose will normally not be granted. Upon recommendation from the department Chair and Dean of the faculty member's school, the Provost may (at his or her discretion) approve an exception to this policy under special circumstances. Such exceptions are rare and based upon compelling reasons.

2.7.H Close Relatives of the Faculty

It is the policy of Stanford University to seek for its faculty the best possible teachers and scholars who are judged to be so in a national or international search preceding each appointment. There are no bars to the appointment of close relatives or domestic partners to the faculty (or staff) in the same or different department, so long as each meets the relevant standard for appointment. (See University Administrative Guide Memo 22.1.2.c, on-line at http://adminguide.stanford.edu/22_1.pdf.)

No faculty member, department chair, dean, or other administrative officer shall vote, make recommendations, or in any other way participate in the decision of any matter which may directly affect the appointment, reappointment, tenure, promotion, salary, or other status or interest of a close relative or domestic partner, nor shall he or she supervise a close relative or domestic partner.

Section 2.8 ADDITIONAL POLICIES

2.8.A Junior Faculty Counseling and Mentoring

Providing support, guidance, advice and feedback to junior faculty is a high priority for Stanford University. There is variation across the university in how this support and guidance is provided, and the university does not mandate a particular methodology. However, it is expected that counseling and mentoring will occur on a regular basis. These guidelines outline the general expectations for the kinds of support, advice and feedback junior faculty should receive. Faculty members with questions in this area should consult their department chair or dean.

2.8.A(1) Counseling

Counseling, which is the first aspect of guiding junior faculty, entails providing feedback on performance relative to the standards for reappointment and promotion. Department Chairs, Deans or their delegates for schools without departments, should confer annually with each junior faculty member in their department or school to review his or her performance in light of the criteria for reappointment or promotion.

Appropriate areas to discuss may include: scholarship quality and productivity to date; general expectations of the discipline with respect to quantity; form or scholarly venue of publications; expectations, if applicable, about other indicators of recognition such as grant funding; suggestions for the scholarship that may be helpful; teaching quality, quantity, and type to date (including acknowledgment of special efforts in teaching); quality of performance in other academic activities (such as creative works or clinical practice), if applicable; general expectations as to levels of service appropriate for junior faculty (and acknowledgment of special service efforts); and any professional, behavioral or institutional citizenship issues.

These counseling sessions should include direct reference to — and discussion of — the university's and the school's criteria for reappointment and promotion, as set forth in Appendix B to the Faculty Handbook (available online at <http://facultyhandbook.stanford.edu>) and as supplemented by the school's handbook. The comparative and predictive aspects of the tenure/promotion decision should be stressed, as should be the fact that tenure/promotion judgments generally cannot be made until the referee letters are received as part of the evaluation process. For this reason, counseling the junior faculty member that he or she is “on track” to gaining tenure or promotion is inappropriate.

Schools vary in viewpoint and practice as to whether there should be a written record of these annual discussions. The university leaves this matter to each school's discretion. However, the university does require a written record — the counseling letter — at the time of reappointment, and at the time of promotion to some (but not all) ranks.

The counseling letter provides an opportunity to give candid feedback to a junior faculty member on his or her academic performance and progress to date based on the results of this reappointment or promotion review. The counseling letter provides a vehicle for this feedback, which should be constructive, realistic, and specifically tailored to the candidate and to the standards and criteria he or she will face in a future review or promotion.

The counseling letter is submitted with the recommendation papers. It is expected that the counseling letter submitted with the file will be in draft form. Only after completion of the review process should the counseling letter be finalized and then given to the faculty member. After receiving the counseling letter, the faculty member is encouraged to meet with his or her department chair to discuss in more detail the feedback contained in the letter. Department chairs are in turn encouraged to offer such a meeting, if one is not requested.

Finally, although the purpose of the counseling letter is to offer practical guidance to the junior faculty member in regard to his or her future efforts (such as by pointing out areas for potential attention or improvement), the candidate should understand that the strategic advice offered is not a prescription for achieving tenure or promotion, but rather the letter writer's best judgment based on the results of this review. As noted more generally below, the ultimate responsibility for career trajectory and success rests with each faculty member himself or herself.

2.8.A(2) Mentoring

The second aspect of the guidance to be offered to junior faculty is mentoring, that is, the ongoing advice and support regarding the junior faculty member's scholarship, teaching and (where applicable) clinical performance. Schools are expected to have policies and practices for providing mentoring to junior faculty; these vary across the university. In general, it is recommended that junior faculty be assigned mentors who are senior faculty members but not department chairs. The mentor should be available to provide guidance on an ongoing basis and should meet at least annually with the junior faculty member. In situations in which the initial mentor assignment is not successful, department chairs or deans should work with the junior faculty member to identify a suitable mentor.

Junior faculty should also be encouraged to seek informal mentors from inside or outside their department who may share interests and provide additional perspectives.

2.8.A(3) Information Sessions

Central university offices such as the Vice Provost for Faculty Development and Diversity and the Center on Teaching and Learning provide some general orientation and information sessions for new and junior faculty. However, topics for which practices vary significantly among schools or departments should be discussed with junior faculty locally, by the school and/or department, through information sessions and/or mentoring. These topics might include teaching and grading strategies and practices, graduate student advising, expectations regarding publications in the specific field, expectations for and sources of grant funding, and management of research budgets and personnel.

2.8.A(4) The Junior Faculty Member's Responsibility

The core purpose of counseling and mentoring is to provide candid and helpful feedback and guidance to the individual. The goal is to provide a supportive atmosphere to assist the junior faculty in succeeding in his or her academic career. However, it should also be recognized and communicated to the junior faculty member (and it is here reiterated) that the ultimate

responsibility for career trajectory and success lies with each faculty member himself or herself. Thus it is up to the junior faculty: to respond to invitations to meet with their mentors, department chairs, or deans; to request counseling and mentoring sessions if such sessions are not otherwise scheduled for them; to attend information sessions offered to them; and to be familiar with the policies and procedures concerning reappointment, tenure and promotion, in particular those in the Faculty Handbook (including the criteria in the forms found in Appendix B) and in school faculty handbooks. Similarly the junior faculty member should understand that a faculty mentor's strategic advice (like the advice contained in the counseling letter written at the time of reappointment) is not a prescription for achieving tenure or promotion, but rather a senior colleague's best judgment, to be accepted or rejected as the junior faculty member chooses. Accordingly, inadequate counseling and mentoring is generally not considered sufficient grounds for appealing a negative tenure or promotion decision.

Stanford University hires the best and brightest junior faculty and is committed to providing opportunities, resources, and support, including counseling and mentoring, to help them develop into outstanding scholars, teachers, and clinicians. The policies and practices described in these guidelines are intended to assist each faculty member in launching a successful academic career.

2.8.B Access to Personnel Files

Stanford's policy has for many years been that an individual should be able to learn the general substance of the information contained in his or her personnel file. However, material supplied to the University by a third party (whether inside or outside the University), or supplied by a member of the University to a third party, is presumed to be confidential unless otherwise stated and should not be shown to the individual. Because the quality of the University's appointment, reappointment and promotion process depends on the candor of the participants in that process, Stanford's policy is to protect vigorously the sources of information. Accordingly, peer evaluations from outside and inside sources, letters from students, departmental or higher-level documents regarding the review process, and documents containing statements based on personal knowledge, judgments or opinions are regarded as confidential. Such material should therefore, upon request, be summarized by a responsible University officer in manner that preserves the confidentiality of the source of the information.

2.8.C Negative Reappointment or Promotion Decisions

2.8.C(1) General Information

A member of the Tenure Line, Non-Tenure Line, or Medical Center Line faculty whose appointment has no coterminous condition and who holds a renewable appointment for one year shall be notified by March 15 if the appointment is not to be renewed. (For faculty whose appointments have a coterminous condition, see paragraph below.) Failure to give timely notice of non-renewal will entitle the individual to a special reappointment for an additional terminal year. This additional appointment for a terminal year, if granted, does not count toward acquisition of tenure by length of service. (See Section **2.1.D(2)** above.)

When a faculty member holding a renewable appointment for more than one year is not given notice of termination or of non-renewal before July 1 of the penultimate year of the contract, the appointee is entitled to a special reappointment for an additional terminal year. This additional appointment for a terminal year, if granted, does not count toward acquisition of tenure by length of service. (See Section **2.1.D(2)** above.)

The date specified above by which faculty are to be notified of non-renewal assumes that all appointments expire on August 31 of the academic year. For appointments ending on other dates, an equivalent length of notice should be given. That is, a faculty member holding a one-year renewable appointment should be notified at least five and one-half months prior to the ending date of the appointment if it is not to be renewed. Faculty holding a renewable appointment for more than one year should be notified at least fourteen months prior to the ending date of the appointment. Faculty holding continuing term appointments (i.e., no end date specified) should be notified at least fourteen months prior to the anticipated termination date if he or she is to be terminated for programmatic reasons (including funding considerations) or when satisfactory performance ceases (short of termination for those reasons stated in Section 4.4.B(1) of the *Statement of Policy on Appointment and Tenure*). Failure to give adequate notice entitles the faculty member to an additional one-year reappointment that does not count toward acquisition of tenure by length of service.

Individuals with coterminous appointments such as those that are “coterminous with continued salary and other research support from sponsored projects” or coterminous with continued support from an affiliated institution (e.g., “coterminous with continuation of contract support at SLAC”) are not subject to the same provisions for notice of non-renewal. As a general rule, the appointment (even if for a term of years or for a continuing term) ends at the same time the funding or other support ceases. Although University funding beyond the point at which the faculty member’s support terminates may be possible in certain instances, it is not an entitlement. Such situations are handled on a case-by-case basis, as are cases when a reduction (as opposed to a complete cessation) of the faculty member’s support will result in the immediate termination of the appointment.

2.8.C(2) Communication Concerning Non-Renewal

After a formal decision to terminate a continuing appointment, or not to renew a term appointment, or not to promote a non-tenured member of the Professoriate, at whatever level, the candidate shall be promptly informed in writing.

In addition, the decision-maker shall set out the grounds for that negative decision in a dated memorandum in enough detail to explain it to one not personally familiar with the case. This memorandum shall be transmitted to all University officers to whom a positive recommendation would have been transmitted, including the Provost. This memorandum is confidential and shall not be shown to the individual. However, at the written request of the candidate submitted to the Provost no later than sixty days after the candidate has been informed of the decision, the substance of the memorandum will be summarized orally or in writing to the candidate by the Provost or a delegate.

Deans and department Chairs should work closely with unsuccessful candidates for reappointment and promotion to address the potentially difficult personal and professional consequences that may accompany the negative decision, as well as to assist in facilitating their successful transition to other academic institutions or opportunities.

Chapter 3: Sabbaticals and Other Leaves of Absence

APPLICABLE TO THE ACADEMIC COUNCIL AND MEDICAL PROFESSORIATES

Last updated: March 29, 2010

(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

Section 3.1 GENERAL POLICIES APPLICABLE TO LEAVES AND OTHER ABSENCES FROM CAMPUS

It is important that members of the faculty be regularly available to students and colleagues, participating continuously in the educational programs of the University. Leaves of absence, in addition to sabbatical leaves, may not only reduce a faculty member's contribution to the University, but may also disrupt instructional programs. In general, the granting or denying of leaves is at the discretion of the department Chairs or School Deans.

3.1.A Limitations on Leaves

It is University policy to place limitations on the granting of leaves. When considering a faculty member's leave request, the department Chair and school Dean should determine whether the following two limitations have been satisfied:

Overall limit on leave. The total time spent on leaves of any kind normally should not exceed six quarters in seven years for faculty with nine month appointments or 24 months in seven years for faculty with 12 month appointments. (To determine this limit, count back seven years from the end date of a proposed leave. In this calculation, partial leaves will be prorated.)

Limit on contiguous absence. In addition, leaves of any kind, or combinations of leaves, may not exceed 24 contiguous months for faculty with 12 month appointments or two consecutive academic years for faculty with 9 month appointments, irrespective of percent time off duty.

Retirement. Leaves may not be taken during the academic year immediately preceding retirement.

Exceptions to these limitations may be approved by the Provost, at the Provost's discretion, in rare circumstances such as when positive advantages to the University outweigh the possible adverse effects on University programs, or when the following types of leave are involved: pregnancy disability or other disability leave, childcare leave, family and medical leave, workers

compensation leave, or leave for government service at a high level. Faculty with questions about this policy should contact their Dean's Office.

When a department has requests for an unusual number of leaves at any one time, pregnancy disability or other disability leaves, childcare leaves, family and medical leaves, worker's compensation leave, and sabbatical leaves have priority. It is appropriate for department Chairs and Deans to refuse or delay certain requests for sabbatical leave and for leave without salary when resulting absences would make it difficult for the department to meet its instructional and research obligations.

3.1.B Short Absences

Faculty members do not accrue vacation leave or sick leave. However, short absences for personal business, illness, jury duty, military duty, and similarly limited absences normally are with full salary. It is expected that when scheduling periods of personal time off, one's academic responsibilities are taken into consideration and continue to be fulfilled. The department Chair should be notified in advance of any absence of a faculty member on active duty that may affect class, laboratory, research, or other University commitments, including graduate student supervision.

3.1.C Supplemental School Policies and Practices

As noted above, in the granting or denying of leaves is generally at the discretion of the department Chairs and school Deans. Schools have different policies and practices with regard to sabbatical leaves and other leaves of absence. To the extent that these may be at variance with University-wide policy, advance approval must be obtained from the Provost by the department Chair and the school Dean. Exceptions to the University's leave policies may be approved by the Provost, at the Provost's discretion. Questions regarding leaves should be referred to the school Dean's Offices.

Section 3.2 SABBATICAL LEAVE

3.2.A Purpose

The purpose of the sabbatical leave program is to free faculty members from their normal University duties, enabling them to pursue their scholarly interests full-time and maintain their professional standing so that they may return to their posts with renewed vigor, perspective, and insight.

Those eligible to take sabbatical leave are: Assistant Professors, Associate Professors, and Professors in the Tenure Line; Non-Tenure Line Assistant Professors (Research), Associate Professors and Professors (Teaching), (Performance), (Clinical), and (Research); Senior Fellows at designated policy centers and institutes; and Assistant Professors, Associate Professors, and Professors in the Medical Center Line. Center Fellows are not eligible to take sabbatical leave.

Faculty on sabbatical leave remain subject to the policies on conflict of commitment and interest and outside consulting activities, which may be found at <http://rph.stanford.edu/Chpt4.html>.

3.2.B Sabbatical Leave Request

Sabbatical leave is not automatic. It is granted by the school Dean following approval of a leave request proposal by the department Chair. In the case of joint appointments, sabbatical leaves must be approved by both departments and schools. The leave request form is provided in [Appendix A](#).

The application for leave includes a description of arrangements to cover the faculty member's instructional responsibilities, supervision of his or her dissertation students and advisees, and other administrative duties for which he or she is responsible. In addition, the application must fully describe activity planned for the leave period. If the individual expects to receive income during the sabbatical period to supplement his or her sabbatical salary, a description of the activities generating such income, and the anticipated amounts, should be included (except for consulting activities performed in accordance with Stanford's consulting policy). Substantial changes in leave plans or supplemental income require approval by the department Chair and Dean.

The University compensation associated with a sabbatical leave is intended to make it financially possible for a faculty member to carry out his or her leave program. Projected outside earnings may be taken into account in the decision to grant sabbatical leave and in setting the percentage of salary to be received from the University. Total compensation during a sabbatical leave should not normally exceed the faculty member's full-time Stanford base salary for the leave period.

Faculty on sabbatical continue to be eligible for health and welfare benefits coverage and receive the full university contribution for such coverage.

3.2.C Appointments at Other Institutions

A faculty member on sabbatical leave may not take a regular faculty or administrative position at another institution of higher education. However, faculty on sabbatical leave may accept a visiting professor appointment at another educational institution.

3.2.D Service Accrual Toward Sabbatical Leave

To be counted toward sabbatical leave, full-time service must include a reasonable amount of teaching (which may take a variety of forms) each year at Stanford. (Exceptions to this rule are the faculty at SLAC, members of the Non-Tenure Line (Research) professoriate, and Senior Fellows.) Participation at a Stanford overseas program or in field work that is an integral part of a department's academic program is considered regular service at Stanford and accrues eligibility toward sabbatical leave. Time spent on leave without salary, extended absences for reason such as illness, periods of pure research (as defined in Section 2.1.D(2)c), and full-time non-teaching service are normally excluded in calculating sabbatical eligibility.

Faculty on a quarterly calendar may accrue sabbatical eligibility during a maximum of 3 quarters in 1 year. A fourth quarter of teaching or sponsored research does not add sabbatical eligibility.

Faculty on a 12 month calendar may accrue sabbatical eligibility during a maximum of 12 months per year.

Sabbatical leave may be accrued on a pro rata basis by regular part-time service at 50% time or more, under the same conditions of eligibility as applied to full-time service.

Service as Assistant Professor (Subject to Ph.D.) may be accrued toward sabbatical leave if the individual is subsequently appointed to an eligible rank, provided that the appointments are contiguous.

Effective 1/1/96, the maximum service toward sabbatical that a faculty member may accrue is 36 quarters (24 semesters, 12 years). A sabbatical cap of less than 36 will apply on a pro rata basis if the individual's appointment is less than 100% FTE.

It is not necessary to obtain Provostial approval for accrual of any amount up to the maximum. Accrual beyond this maximum is normally not permitted.

3.2.E Calculating Sabbatical Leave Duration and Rate of Pay

The usual minimum length of sabbatical is one quarter or semester at 50% salary, or 2 months at 100% salary. The maximum length of sabbatical leave is one year, without regard to rate of pay. See Tables 1-3 at the end of this chapter to determine leave eligibility and rate of pay during leave.

3.2.F Return to Service Following Sabbatical Leave

A faculty member must serve at Stanford for a period of time at least equal to the length of his or her most recent sabbatical prior to taking another sabbatical leave. Sabbatical leave may not be taken during a one-year terminal extension of a regular term appointment or during the academic year immediately preceding retirement. Upon recommendation from the Dean of the faculty member's school, the Provost may approve an exception to this policy under special circumstances. The purpose of the sabbatical leave program is to enable faculty to pursue their scholarly interests full-time and then return to their posts. Accordingly, accrued sabbatical time expires upon termination of employment with the university; there is no compensation given at that time for unused sabbatical.

3.2.G Borrowing Sabbatical Leave Eligibility

The University recognizes the need to provide opportunities for junior faculty to develop their research and scholarship. To assist them during a critical period of their careers, non-tenured Assistant and non-tenured Associate Professors may, upon reappointment for a multiple-year term and with the approval of their department Chair and Dean, borrow up to three years of service credit to be eligible for a sabbatical leave of longer duration or a higher rate of pay (up to

the sabbatical policy maximum). A faculty member will not normally be permitted to borrow service beyond the end date of the term of appointment.

Tenured faculty and faculty with continuing term appointments may not normally borrow sabbatical leave service credit.

Section 3.3 LEAVE WITHOUT SALARY

A leave without salary is any period of leave that is completely without salary paid by or through Stanford University or its disability benefits program.

3.3.A Requesting a Leave Without Salary

Leaves of absence without salary should be requested on the standard leave request form ([Appendix A](#)) for review and approval by the department Chair and Dean of the school.

3.3.B Reviewing a Request for Leave Without Salary

In making the decision to approve or deny a leave without salary request, consideration will be given to the faculty member's teaching and other contributions to the educational program of the University, scholarly productivity, number of Ph.D.'s completed under his or her supervision, previous leaves without salary, and any other relevant circumstances.

3.3.C Appointments at Other Institutions

A faculty member on leave without salary may not take a regular faculty or administrative position at another institution of higher education. However, faculty on leave without salary may accept a visiting professor appointment at another educational institution.

3.3.D Effect on an Appointment for a Term of Years

A leave without salary extends a term appointment held by a member of the Professoriate, irrespective of faculty line, by a period equal to the duration of the leave, unless there is advanced written agreement to the contrary. This extension is not automatic; it must be accomplished through normal processes, usually with the submission of a *Recommendation for Amendment of Professorial Appointment Form* ([Appendix C](#)) by the department or school, when the faculty member has concluded his or her leave without salary. For additional information about the effect of a leave without salary on a faculty member's appointment, see the "Extending the Appointment" sections for each professorial line in Chapter 2 of this handbook.

3.3.E Effect on the Tenure Clock and Appointment Clock Deadlines

A leave without salary taken by an untenured Tenure Line faculty member also extends his or her seven year tenure clock. It does not extend the ten year appointment clock deadline. For additional information, see 2.1.D(2) of this handbook.

3.3.F Period of Partial Unpaid Leave

Periods of partial leave without salary have the same effect as described above, but on a proportional basis.

Section 3.4 PERIOD OF PURE RESEARCH LEAVE

Faculty members, other than Assistant Professors (Research), Associate Professors (Research), Professors (Research) and Senior Fellows, may apply for a period of pure research, which is defined as leave from teaching and other institutional responsibilities during which the faculty member receives full or partial salary through Stanford from sponsored research.

3.4.A Requesting a Period of Pure Research Leave

Applications for periods of pure research should be requested on the regular leave form ([Appendix A](#)) for review and approval by the department Chair and Dean of the school.

3.4.B Reviewing a Request for Period of Pure Research Leave

In making the decision to approve or deny a period of pure research leave request, consideration will be given to the faculty member's teaching and other contributions to the educational program of the University, scholarly productivity, number of Ph.D.'s completed under his or her supervision, previous leaves without salary, and any other relevant circumstances.

3.4.C Effect on Sabbatical Leave Service Accrual

Sabbatical eligibility does not accrue during periods of pure research.

Section 3.5 FAMILY AND MEDICAL LEAVE POLICIES

The following sections describe categories of leave that may be available to faculty who wish to reduce their responsibilities or take a leave of absence to meet family or personal obligations or needs. It should be noted that the leaves and other arrangements described in this document may extend the tenure clock and/or the length of a term appointment (see section 2.1.D(2) of this handbook for more information about this topic). It should also be noted that temporary instructors are frequently needed when faculty take family-related or medical leaves. When this is the case, department Chairs and school Deans are responsible for making the necessary appointment arrangements.

3.5.A Pregnancy Disability Leave

California's Pregnancy Disability Leave Law allows for leave of up to four months due to medically certified, pregnancy-related disability. During pregnancy disability leave, the faculty member is expected to apply for short-term disability insurance according to established procedures. (Specific instructions are available at <http://benefits.stanford.edu>.) The length of pregnancy disability leave is determined by the faculty member's physician, who certifies the

number of weeks that she is disabled, both before and after delivery. The University will continue to pay the faculty member the difference between her short-term disability benefit and her full academic base salary while she is on short-term disability. Department Chairs and Deans are expected to routinely approve requests for pregnancy disability leave. Sabbatical leaves are intended for professional development and should not be used for pregnancy-related leave.

3.5.B Reduced Teaching and Clinical Duties for New Parents

This policy is intended to provide faculty who become new parents with additional flexibility in their work schedule at the time of the birth or adoption of the child. To that end, a faculty member who gives birth may request a reduced teaching load during the quarter of the birth and/or in the subsequent quarter, if these are quarters in which she is normally expected to teach. Similarly, faculty who become fathers or adopt a child no older than five years of age may request a reduced teaching load during the quarter of the arrival of the child or in the subsequent quarter, if these are quarters in which they are expected to teach. During these quarters, the expectation is that faculty will remain on full salary and, except during pregnancy disability leave (if applicable), that they will continue to carry a full complement of professorial activities other than classroom teaching, such as research and scholarship, graduate and undergraduate student advising, committee work, etc. If the faculty member wishes to return to classroom teaching sooner, he or she may do so, but this should be a free choice on his or her part.

For most faculty in clinical departments in the School of Medicine, the closest analogy to classroom teaching with respect to time and effort is clinical service. A faculty member who gives birth may request to be excused from clinical responsibilities (as well as classroom teaching, if any) for 90 days following the end of her pregnancy disability leave. (During pregnancy disability leave, the faculty member is not on duty at all; as noted above, the period of pregnancy disability leave may be up to four months.) New fathers and adoptive parents may request to be excused from clinical duties (as well as classroom teaching, if any) for 90 days immediately following the arrival of the child. During these 90 days, the expectation is that faculty will remain on full salary and that they will continue to carry a full complement of professorial activities, other than clinical duties (and classroom teaching, if any), such as research and scholarship, advising, committee work, etc. If the faculty member wishes to return to clinical responsibilities (or classroom teaching, if any) sooner, he or she may do so, but this should be a free choice on his or her part. If advanced planning efforts of the faculty member and department indicate the need temporarily to hire a physician to provide clinical coverage, funds for this purpose will be provided by the Practice Plan. A justification of request for such funds will be required.

Eligibility under this policy is different from (and more limited than) eligibility under the policies for new parent tenure clock and appointment extensions. This reduced teaching and clinical duties policy is not intended for parents whose newborn or newly adopted child is cared for more than half-time by either a spouse/partner or a childcare provider. A faculty member using this policy would normally be the sole caregiver for at least twenty hours during the work week during the hours from 8 a.m. to 7 p.m., Monday through Friday. To apply for this policy, faculty should complete the form entitled “[Application for Reduced Teaching or Clinical Duties for New Faculty Parents](#).”

In implementing this policy, the faculty member should not be expected to assume a heavier than normal teaching load when returning to regular teaching duty. Department Chairs and Deans should guard against any possible adverse consequences to faculty members on account of using this policy. For instance, while it is proper for department Chairs and Deans to take into consideration an individual's productivity and contribution to the department or school during the prior year when setting salaries, the same standards should apply to all faculty in the unit without respect to the type of leave taken. The reduction of teaching and clinical duties under this policy does not extend the seven year tenure clock or the ten year appointment clock.

3.5.C Childcare Leave

Any faculty member, male or female, who becomes a parent whether by birth or adoption, may request a leave without salary of up to one year, at full or part-time, for the purpose of caring for the child. For a faculty member who gives birth, such a leave could be in addition to pregnancy disability leave; for all parents such leave should be in addition to a period of reduced teaching and clinical duties. Requests for childcare leave are subject to the normal approval process, but department Chairs and Deans are urged to give priority to such requests. Once again, faculty members may not use accrued sabbatical leave for childcare leave.

Upon request of the faculty member, the first twelve weeks of childcare leave may be taken as family leave provided the faculty member meets the eligibility requirements, so as to continue Stanford's usual contribution to group medical and dental health plans (see the Family and Medical Leave section below). After the first twelve weeks, a faculty member on full leave without salary must pay the University's portion of the monthly premium in addition to his/her own premium to insure continuous insurance coverage. For faculty members on partial leave, the University's contribution may continue, depending on the percent time of the leave. Those on leave more than 50% time are responsible for the entire cost of insurance premiums. Those on leave at 25% to 50% of full time receive a partial University contribution, and those on leave less than 25% time receive the full usual University contribution.

3.5.D Family and Medical Leave

Stanford's policy on Family and Medical Leave for Faculty follows the guidelines of the California Family Rights Act of 1991 (amended in 1993) and the federal Family and Medical Leave Act of 1993. This legislation provides for up to 12 weeks of unpaid leave in any 12 month period for eligible employees for certain family and medical reasons. Family or medical leave may be taken for the following reasons:

- To care for the faculty member's spouse (including same-sex domestic partner), child, or parent who has a serious health condition;
- For a faculty member's serious health condition;
- For childcare leave as described above in Section **3.5.C** .

A serious health condition is defined as any illness, injury, impairment, or physical or mental condition serious enough to involve hospitalization, in-patient care in a residential medical

facility, or continuing treatment or supervision by a health care provider. In the case of a serious personal health condition, the faculty member may be eligible for short-term or long-term disability payments.

To be eligible for family or medical leave, an individual must have been employed by Stanford (within the U.S.) for at least 12 months at 50% time or more. An individual is not eligible if he/she has used the maximum yearly leave provided by law.

When the need for family leave is foreseeable, requests for family or medical leave should be made sufficiently in advance to allow the school or department to make replacement teaching and other arrangements. During family or medical leave, the University continues its contributions toward medical and dental group health plans. The faculty member continues to be responsible for paying his or her own premium. If additional leave is approved beyond the 12 weeks of family or medical leave, the faculty member must pay the University's portion of the monthly premium in addition to his or her own premium to ensure continuous insurance coverage.

3.5.E Family Temporary Disability

Family Temporary Disability (FTD) insurance is available to all faculty members who participate in the Stanford Voluntary Disability Insurance (VDI) Plan or the California State Disability Insurance (SDI) Plan. It provides partial wage replacement during an approved Family and Medical Leave to care for a seriously ill family member or Childcare Leave to care for a new child. Additional information is available at <http://benefits.stanford.edu>.

3.5.F Short-Term and Long-Term Disability

Faculty members experiencing a short-term disability (including pregnancy disability) or long-term disability are encouraged to contact Benefits (<http://benefits.stanford.edu>) to obtain information about and to apply for the University's disability benefits. In addition, the faculty member is encouraged to contact his or her department Chair or Dean's Office to address issues pertaining to teaching, research, appointment dates, tenure clock deadline, grant administration and other related issues.

**DETERMINING LEAVE ELIGIBILITY AND PAY
QUARTER CALENDAR**

TABLE 1

(Sabbatical leave during the fourth quarter is not available to faculty holding a 9-month appointment)

| Service Quarters (excluding Summer) | Length of Sabbatical (in Quarters) | Rate of Pay During Leave |
|--|---|-------------------------------------|
| 6 | 1 | 50.00% |
| 7 | 1 | 58.33% |
| 8 | 1 | 66.67% |
| 9 | 1 | 75.00% |
| 10 | 1 | 83.33% |
| 11 | 1 | 91.67% |
| 12 | 1 | 100.00% |
| 12 | 2 | 50.00% |
| 13 | 2 | 54.17% |
| 14 | 2 | 58.33% |
| 15 | 2 | 62.50% |
| 16 | 2 | 66.67% |
| 17 | 2 | 70.83% |
| 18 | 2 | 75.00% |
| 18 | 3 | 50.00% |
| 19 | 2 | 79.17% |
| 19 | 3 | 52.78% |
| 20 | 2 | 83.33% |
| 20 | 3 | 55.56% |
| 21 | 2 | 87.50% |
| 21 | 3 | 58.33% |
| 22 | 2 | 91.67% |

| | | |
|----|---|---------|
| 22 | 3 | 61.11% |
| 23 | 2 | 95.83% |
| 23 | 3 | 63.89% |
| 24 | 2 | 100.00% |
| 24 | 3 | 66.67% |
| 25 | 3 | 69.44% |
| 26 | 3 | 72.22% |
| 27 | 3 | 75.00% |
| 28 | 3 | 77.78% |
| 29 | 3 | 80.56% |
| 30 | 3 | 83.33% |
| 31 | 3 | 86.11% |
| 32 | 3 | 88.89% |
| 33 | 3 | 91.67% |
| 34 | 3 | 94.44% |
| 35 | 3 | 97.22% |
| 36 | 3 | 100.00% |

**DETERMINING LEAVE ELIGIBILITY AND PAY
12 MONTH CALENDAR
TABLE 2**

| Service Years | Service Months | Length of Sabbatical (in Months) | Rate of Pay During Leave |
|----------------------|-----------------------|---|---------------------------------|
| 2 | (24) | 2 | 100.00% |
| 2 | (24) | 3 | 66.67% |
| 2 | (24) | 4 | 50.00% |
| 3 | (36) | 3 | 100.00% |
| 3 | (36) | 4 | 75.00% |

| | | | |
|---|------|----|---------|
| 3 | (36) | 5 | 60.00% |
| 3 | (36) | 6 | 50.00% |
| 4 | (48) | 4 | 100.00% |
| 4 | (48) | 5 | 80.00% |
| 4 | (48) | 6 | 66.67% |
| 4 | (48) | 7 | 57.14% |
| 4 | (48) | 8 | 50.00% |
| 5 | (60) | 5 | 100.00% |
| 5 | (60) | 6 | 83.33% |
| 5 | (60) | 7 | 71.43% |
| 5 | (60) | 8 | 62.50% |
| 5 | (60) | 9 | 55.56% |
| 5 | (60) | 10 | 50.00% |
| 6 | (72) | 6 | 100.00% |
| 6 | (72) | 7 | 85.71% |
| 6 | (72) | 8 | 75.00% |
| 6 | (72) | 9 | 66.67% |
| 6 | (72) | 10 | 60.00% |
| 6 | (72) | 11 | 54.55% |
| 6 | (72) | 12 | 50.00% |
| 7 | (84) | 7 | 100.00% |
| 7 | (84) | 8 | 87.50% |
| 7 | (84) | 9 | 77.78% |
| 7 | (84) | 10 | 70.00% |
| 7 | (84) | 11 | 63.64% |
| 7 | (84) | 12 | 58.33% |
| 8 | (96) | 8 | 100.00% |
| 8 | (96) | 9 | 88.89% |

| | | | |
|----|-------|----|---------|
| 8 | (96) | 10 | 80.00% |
| 8 | (96) | 11 | 72.73% |
| 8 | (96) | 12 | 66.67% |
| 9 | (108) | 9 | 100.00% |
| 9 | (108) | 10 | 90.00% |
| 9 | (108) | 11 | 81.82% |
| 9 | (108) | 12 | 75.00% |
| 10 | (120) | 10 | 100.00% |
| 10 | (120) | 11 | 90.91% |
| 10 | (120) | 12 | 83.33% |
| 11 | (132) | 11 | 100.00% |
| 11 | (132) | 12 | 91.67% |
| 12 | (144) | 12 | 100.00% |

Chapter 4: Core Policy Statements

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(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

Four core policy statements are set forth in this chapter:

Section 4.1: The *Statement on Faculty Appeal Procedures*,

Section 4.2: The *Statement on Academic Freedom*,

Section 4.3: The *Statement on Faculty Discipline*, and

Section 4.4: The *Statement on Appointment and Tenure*.

Section 4.1 STATEMENT ON FACULTY APPEAL PROCEDURES

This *Statement on Faculty Appeal Procedures* was adopted by the Senate of the Academic Council on April 29, 1999, and approved by the Board of Trustees on June 11, 1999. It is applicable to appeals filed on or after June 11, 1999. It replaced the Statement of Faculty Grievance Procedures approved by the Senate of the Academic Council on May 15, 1975 and by the Board of Trustees on June 13, 1975 (and modified by the Senate of the Academic Council on December 4, 1997).

4.1.A Definitions and Standards

(1) An appeal is a written request for review of a decision made by a person (or group of persons) acting in an official University capacity. The decision must have directly affected the academic activities of the appellant as an individual. Dissatisfaction with a departmental, school, or University policy or practice is not grounds for appeal. These appeal procedures may be used by any member of the Professoriate, as defined in, Section 1.2.E of the Faculty Handbook.

(2) The purpose of the appeal process is to determine whether appropriate procedures were followed in making certain kinds of academic decisions, rather than to reevaluate the merits of the decisions themselves. The standard for deciding the appeal shall be limited to determining whether there were procedural errors (such as the failure to bring proper facts and criteria to bear on a decision, or the introduction of improper facts and criteria, or the existence of other procedural defects) that substantially affected the outcome to the detriment of the appellant. In rare cases, the reviewer may also overturn the decision if it was not one which a person (or persons) in the position of the decision-maker might reasonably have made.

(3) Because these appeal procedures are not those of a court of law, it is important that they be carried out with flexibility and in an atmosphere of collegiality, and that the participants avoid an excessively legalistic approach. Efforts should be made to resolve the dispute informally before beginning the appeal process, and those efforts may continue even after the process is underway.

(4) The appellant should file his or her appeal within 60 days of being notified of the decision. An unreasonable delay in filing an appeal may constitute grounds for rejection of the appeal.

4.1.B Appeals Concerning Reappointment and Promotion Decisions

(1) A faculty member whose reappointment or promotion has initially been denied by the department or school may file a written appeal with the Provost.

a. After making a preliminary review of the matter, which may include consultations with whomever the Provost deems appropriate (including the Advisory Board), the Provost may grant the appeal, or remand the matter to a lower administrative level, or refer the matter directly to the Advisory Board. Before acting on the case, the Provost may appoint a Fact-Finder to investigate the matter and report back to the Provost, who may then grant the appeal, remand the matter to a lower level, or refer it to the Advisory Board. The Provost will inform the appellant of his or her decision.

b. When the Advisory Board has received the appeal from the Provost, it will make a preliminary review and can then reject the appeal if it is found to be without merit. In this preliminary review and/or in any further deliberations, the Advisory Board may make any inquiries that it deems appropriate. The Board may also make use of the Fact-Finder appointed by the Provost or, if necessary, appoint its own Fact-Finder.

c. If, after its preliminary review, the Board decides to consider the case, it will inform the appellant that he or she has the right to a hearing. If the appellant does not request a hearing, the Advisory Board will consider the matter without a hearing and make a recommendation to the Provost.

d. If the appellant requests a hearing, the appellant and the decision-maker (or the decision-maker's representative) each has the right to appear before the Advisory Board and to make an oral and/or written presentation. The Board can set time limits (usually not more than 30 minutes for each side) for these oral presentations. The Board may also decide to call witnesses, who will be questioned only by members of the Board. A record of the hearing will be kept.

e. Upon completion of its deliberations, the Advisory Board will make a recommendation to the Provost, who will then take one of the following actions: refer the matter to a Fact-Finder for further inquiry, further consult with or remand the matter to the Advisory Board for additional consideration, grant or deny the appeal or take such other action as the Provost deems appropriate. The Provost will inform the appellant of the decision.

f. Upon receipt of the Provost's final decision, the appellant may within 30 days request a further review by the President. The President may decline this request. If the President chooses to consider the appeal, he or she may make any inquiries that the President deems appropriate. Following his or her examination of the case, the President may grant or deny the appeal or take any other action that he or she deems appropriate. The President's decision will be conveyed to the appellant and is final.

(2) A faculty member whose reappointment or promotion has initially been denied by the Provost may file a written appeal with the President, who will perform the functions assigned to the Provost in Section 4.1.B(1). At the end of the process, the President's decision will be conveyed to the appellant and is final.

(3) A faculty member whose reappointment or promotion has been denied by the President after a recommendation by the Advisory Board may file a written appeal with the President. The President may remand the matter to a lower administrative level or refer it to an appropriate person to review the case and report back to the President. The President may grant or deny the appeal or take any action that he or she deems appropriate. The President's decision will be conveyed to the appellant and is final.

4.1.C Other Appeals

(1) A faculty member who wishes to appeal an administrative decision (that is, a decision that does not involve denial of his or her reappointment or promotion) made below the provostial level may file a written appeal with the Provost.

a. After making a preliminary review of the matter, which may include consultations with whomever the Provost deems appropriate, the Provost may grant or deny the appeal or take any action that the Provost deems appropriate. Alternatively, the Provost may remand the matter to a lower administrative level, and/or appoint a Fact-Finder who will investigate the matter and report back to the Provost. The Provost may then grant or deny the appeal or take any action that the Provost deems appropriate. The Provost will inform the appellant of his or her decision.

b. Upon receipt of the Provost's final decision, the appellant may within 30 days request a further review by the President. The President may decline this request. If the President chooses to consider the appeal, he or she may make any inquiries that the President deems appropriate. Following his or her examination of the case, the President may grant or deny the appeal or take any action that he or she deems appropriate. The President's decision will be conveyed to the appellant and is final.

(2) A faculty member wishing to appeal an administrative decision made by the Provost or President, may file a written appeal with the President, who will perform the functions assigned to the Provost in Section 4.1.C(1). At the end of the process, the President's decision will be conveyed to the appellant and is final.

4.1.D General Provisions

(1) Time Guidelines

Because it is important for all concerned that appeals be resolved expeditiously, the Provost, President and Advisory Board should attempt to follow these guidelines: within 30 days from the receipt of the appeal, the Provost should inform the appellant about the procedures to be used in his or her case. The Provost should seek to decide the case within 60 days from receipt of the appeal (or, in the case of an appeal of a reappointment or promotion decision, within 30 days

from receipt of the Advisory Board's recommendations), the Advisory Board should seek to reach its decision within 60 days of receiving the case from the Provost, and the President should seek to make his or her final determination within 90 days from receipt of the appellant's request for further review. The application of these guidelines to a particular case may be modified by the President, Provost, or Advisory Board at their discretion. If such modifications become necessary, the appellant will be informed of the delay.

(2) Confidentiality

a. Any material that has been solicited or received with the understanding that it would be kept in confidence must not be revealed in the appeal process to any person, including the appellant, who was not a party to the confidential material. The material may, however, be examined by individuals who have been consulted by the Provost, President or the Advisory Board as part of the appeal process, and who will in turn maintain its confidentiality.

b. In order to obtain information in his or her personnel file, the appellant should follow the procedures set forth in the Faculty Handbook.

c. Because it concerns individual personnel matters, the appeal process is not a public proceeding.

(3) Advisors

The appellant, the persons(s) whose decision is being appealed, and anyone else called to provide information on the appeal, may be accompanied by an advisor to any discussion with the administrative officer or with his or her delegate, as well as to any appearance before the Advisory Board. The advisor's role is to advise the relevant party; he or she, therefore, may not directly address those considering the appeal or question witnesses at a hearing of the Advisory Board. Except in hearings before the Advisory Board, advisors must be members of the professoriate.

(4) Fact-Finders

The Provost should appoint eight to twelve persons (from the faculty, emeritus faculty or senior staff) to a standing panel of Fact-Finders. Fact-Finders serve for staggered three year terms and receive administrative support from the Provost's office. Taking into account the particular circumstances of the case, The Provost and/or the Advisory Board may select an individual from this panel to gather information about the appeal. The Fact-Finder is not an advocate for either the decision-maker or the appellant. The Fact-Finder's role is to answer clearly defined questions and to report on unexpected aspects of the case. The Fact-Finder is not to make formal recommendations about how the case should be resolved.

(5) The Advisory Board

The Advisory Board may act on an appeal through a subcommittee of its members. Members who have participated in the decision under consideration will recuse themselves from

participating in the Board's deliberations. The Board may, but need not, replace its recused member or members.

(6) Inquiries

Inquiries about these procedures should be directed to the Provost's office.

Section 4.2 STATEMENT ON ACADEMIC FREEDOM

This *Statement on Academic Freedom* was adopted by the Senate of the Academic Council on April 18, 1974, and approved by the Board of Trustees September 10, 1974 upon the understanding that, as stated by the President of the University in his written recommendation to the Board, "The University's processes of search and evaluation are designed to produce the best possible persons for membership on the faculty. The *Statement on Academic Freedom* would in no way change that goal or the practices used to reach it."

Conforming to 1989 and 1990 actions of the Senate of the Academic Council on the recommendations of the Second Committee on the Professoriate, "faculty" refers to titles included in the "Professoriate," as defined in Section 1.2.E of the Faculty Handbook. The *Statement* was amended by the Senate of the Academic Council on April 16, 1998 and April 29, 1999.

4.2.A Preamble

Stanford University's central functions of teaching, learning, research, and scholarship depend upon an atmosphere in which freedom of inquiry, thought, expression, publication and peaceable assembly are given the fullest protection. Expression of the widest range of viewpoints should be encouraged, free from institutional orthodoxy and from internal or external coercion. Further, the holding of appointments at Stanford University should in no way affect the faculty members' rights assured by the Constitution of the United States. In furtherance of these general principles:

4.2.B Decisions concerning

- (1) the search for, and appointment and promotion of, faculty;
- (2) the assignment of teaching and other primarily academic responsibilities;
- (3) the support and sponsorship of scholarly research; and
- (4) any other granting or withholding of benefits or imposition of burdens shall be made without regard to a person's political, social, or other views not directly related to academic values or to the assumption of academic responsibilities; without regard to the conduct of a person holding an appointment at Stanford unless such conduct is directly related to academic values or to the assumption of academic responsibilities or is determined, in a proceeding pursuant to the *Statement on Faculty Discipline*, to come within the provisions of Section 4.3.A of that Statement; and without regard to an individual's race, ethnic origin, sex or religion. Nothing in

the foregoing shall be deemed to affect the University's application of affirmative action policies in its faculty search procedures.

4.2.C The appeal procedures outlined in Section 4.2.D are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom established in Section 4.2.B. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual faculty members. The provisions of Section 4.2.B do not create contractual rights subject to review by agencies outside the University. The procedures outlined in Section 4.2.C, however, constitute the administrative remedies for faculty appeals covered by parallel rights established under applicable federal and state laws (such as Civil Rights Acts).

4.2.D The following procedures shall apply to all appeals (defined as in the *Statement on Faculty Appeal Procedures*) arising under this *Statement on Academic Freedom*:

(1) The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty (as defined above) position; no other person or persons shall have standing to complain.

(2) If any faculty member feels aggrieved by a decision that he or she believes to be in violation of this *Statement*, he or she may file an appeal pursuant to the *Statement on Faculty Appeal Procedures*.

(3) For appeals brought in whole or in part for alleged violation of the *Statement on Academic Freedom*, the rules and procedures of the *Statement on Faculty Appeal Procedures* shall be modified as follows:

a. For an appeal not arising out of a negative decision on reappointment or promotion (and therefore for which consideration by the Advisory Board would otherwise be unavailable), the appeal structure shall nonetheless include the Advisory Board as to that portion of the appeal raising an alleged violation of the *Statement on Academic Freedom*.

b. To the extent that an appeal does not involve a violation of Section 4.2.B(1) of this *Statement* (that is, relating to the search for, and appointment and promotion of, faculty), the Advisory Board may, at its option, refer the appeal to any faculty member or committee of faculty members as it deems appropriate, which faculty member or committee of faculty members shall consider the matter and make recommendations to the Provost directly.

c. For each appeal raising an alleged violation of the *Statement on Academic Freedom*, the Standards for Review under Section 4.1.A(2) of the *Statement on Faculty Appeal Procedures* shall be expanded to include the consideration: "Did the decision give weight to one or more of the factors ruled out of proper consideration by Section 4.2.B of the *Statement on Academic Freedom*?"

Section 4.3 STATEMENT ON FACULTY DISCIPLINE

This Statement on Faculty Discipline was approved by the Senate of the Academic Council on December 2, 1999 and by the Board of Trustees on December 14, 1999. It replaces both the Statement on Faculty Discipline approved by the Senate of the Academic Council on May 18, 1972 and by the Board of Trustees on January 9, 1973, and the Rules for the Conduct of Hearings promulgated by the Advisory Board in 1973.

4.3.A Definitions and Standards

(1) In order to maintain the integrity of its teaching and research and to preserve academic freedom, Stanford University demands high standards of professional conduct from its faculty. In the case of a serious violation of these standards, a faculty member may face disciplinary charges under the following procedures.

(2) These disciplinary procedures are invoked when the Provost formally charges a faculty member with professional misconduct that is serious enough to warrant a sanction ranging from censure to dismissal from the University. This procedure applies to members of the Professoriate, as defined in Section 1.2.E of the Faculty Handbook. The Statement on Academic Freedom applies.

(3) The Provost may charge a faculty member with professional misconduct only for actions taken in association with the faculty member's academic duties and responsibilities. Such misconduct includes but is not limited to the following: dishonest or unethical behavior in the faculty member's own teaching or research; preventing or obstructing teaching or research or any other lawful function of the University; sexual harassment; and the neglect of University-related duties and responsibilities.

(4) A faculty member charged under these procedures may be subject to sanctions including but not limited to the following: censure; a fine and/or a temporary reduction in pay; suspension from the University without pay for a specified period; indefinite reduction in pay; dismissal from the University.

4.3.B Initiating the Process

(1) Charges will be brought on behalf of the University by the Provost, following whatever factual investigation he or she deems appropriate. If a conflict of interest prevents the Provost from being involved, the President will act in the Provost's place. When charges are to be brought against a faculty member, he or she must be notified of the charges in confidence, and given an opportunity to reply. If the matter cannot be settled by agreement (which would require the President's approval), and if the faculty member charged wishes to contest the charges, the Provost shall prepare a written statement of the charges and of the proposed sanction, which will be given to the faculty member and the Advisory Board. Even after the written statement has been forwarded to the Board—and at any time in the proceedings—the Provost and the faculty member (with the approval of the President) may seek to resolve the matter by agreement. Throughout the proceedings, all those involved should keep in mind that the procedures here are

those of a University and not a court of law, and therefore should seek to avoid an excessively legalistic approach.

(2) The Advisory Board

If a member of the Advisory Board recuses himself or herself, the Board may, but need not, replace such member(s) with an alternate. Once the Board membership is set for purposes of considering a case, the members should continue with the case until its conclusion even if their terms have ended; if a member must withdraw during the process, he or she need not be replaced. For purposes of this Statement, "Advisory Board" shall refer to this group: that is, the Board sitting at the time the charges are filed, less any recusals and withdrawals, plus any alternates assigned.

(3) Framing the Issues

a. Promptly, within such time as the Advisory Board determines, the faculty member must file with the Board a statement setting forth the defenses proposed, any factual allegations that are specifically disputed, and any additional factual matters to which the faculty member will draw attention. The University ordinarily has ten days to reply to this statement.

b. The statements of both parties should be specific enough to enable the Advisory Board to make a determination about what issues of historical fact (if any) are relevant to the charges and are in dispute. Either party may include in its statement an argument that certain facts under discussion are irrelevant to the disposition of the case or are not properly classified as issues of historical fact.

c. If the Advisory Board determines that there is a dispute about material issues of historical fact, the Board will notify the parties of such issues(s) and will select a qualified Hearing Officer from outside the University to hold an Evidentiary Hearing at a date to be set by the Board. If the Board determines that there is no dispute about material issues of historical fact, the Board will proceed to schedule the Final Hearing.

4.3.C The Evidentiary Hearing

(1) At least five weeks prior to the commencement of the Evidentiary Hearing, each party must provide the Hearing Officer and the other party with copies of the exhibits it intends to introduce as evidence and with a list of the witnesses it expects to call, along with a detailed summary of the testimony expected from each witness.

(2) Immediately following these submissions, the Hearing Officer will entertain any motions (including motions to exclude any such testimony or exhibits as outside the scope of the issues, unduly prejudicial, etc.). At least four weeks prior to the date of the Evidentiary Hearing, the Hearing Officer will rule on any such motions and will prepare a Pre-Hearing Order composed of the Advisory Board's determination of issues, the Hearing Officer's ruling on the motions, and the parties' lists of exhibits and witnesses and summaries of testimony (revised to reflect any rulings by the Hearing Officer).

(3) Either party may add to its list of exhibits and witnesses for the purpose of giving rebuttal evidence. The Hearing Officer will set the time for submission of copies of rebuttal exhibits and of the list of rebuttal witnesses. In the event that a party later proposes to use a witness or exhibit that was not disclosed by the specified time, the Hearing Officer will rule on whether and/or under what circumstances the evidence may be introduced.

(4) The purpose of the Evidentiary Hearing is to reach conclusions on the material issues of historical fact identified by the Advisory Board. At the Evidentiary Hearing, the Hearing Officer will hear evidence and will then make detailed findings of historical fact, which are submitted to the Board.

(5) Any witness shall be guaranteed the right in the Evidentiary Hearing to invoke the privilege (a) not to incriminate himself or herself in answer to any question, and (b) not to divulge a confidential communication from a University employee or student made with the understanding of all parties to the communication that it would be kept confidential.

4.3.D The Final Hearing Before the Advisory Board

(1) After the Hearing Officer has submitted the findings of fact to the Advisory Board, the Board will schedule a Final Hearing.

(2) Each party has the opportunity to file a written brief, not later than one week before the scheduled start of the Final Hearing. This brief may include any or all of the following matters:

a. Challenges to rulings of the Hearing Officer or the Advisory Board, except that a ruling of the Hearing Officer during the Evidentiary Hearing can be challenged only if an objection was recorded at the time;

b. Whether the Hearing Officer's findings of fact are supported by substantial evidence;

c. Whether the faculty member has committed professional misconduct as charged; and

d. Whether the sanction proposed by the Provost is appropriate.

(3) At the Final Hearing before the Advisory Board, the parties will be given an opportunity for oral argument, within time guidelines set by the Board.

(4) As a result of the Final Hearing, the Advisory Board may ask the Hearing Officer to clarify the findings of fact or make additional findings on the basis of the evidence. The Board will give both parties an opportunity to comment on these clarifications or additional findings. The Board may also order the Hearing Officer to reopen the Evidentiary Hearing to hear evidence on specified issues. If necessary, the Board may reopen the Final Hearing.

(5) Within one week after the Final Hearing before the Advisory Board, either party may file a written reply, which is limited to the issues raised by the opposing brief and the opposing party's oral argument.

4.3.E The Decision of the Advisory Board

(1) The Advisory Board will affirm those of the Hearing Officer's findings of historical fact that it concludes are supported by substantial evidence, and such findings will thereafter be final and binding upon the President and Board of Trustees.

(2) A finding of professional misconduct requires that a majority of the members of the Advisory Board concludes that the faculty member has committed professional misconduct in the respect or respects charged.

(3) If a majority of the Advisory Board concludes that the faculty member has committed professional misconduct, the Board will decide upon the appropriate sanction and will notify the President of its decision.

(4) If there is no majority of the Advisory Board concluding that the faculty member has committed professional misconduct in the respect or respects charged, the Board will so notify the President.

4.3.F The Decision of the President

(1) If the President does not accept the decision of the Advisory Board, he or she will resubmit the case to the Board for reconsideration with a statement of questions or objections. The Board will then reconsider the case in the light of such questions or objections, hold (if necessary) further hearings and receive new evidence, and either render a new decision or state the reasons for its decision to reaffirm its original decision. After study of the Board's reconsidered decision, the President may make a final decision different from that of the Board only if the President determines: that the faculty member or the University was denied a fair hearing; or that the Board's decision (as to whether there has been professional misconduct and/or as to the sanction) was not one which a decision-making body in the position of the Board might reasonably have made.

(2) If the President makes a final decision different from that of the Advisory Board, the reasons for that different decision shall be given to the Board and the faculty member.

(3) If the President's decision requires dismissal, such decision is not effective until it has been approved by the Board of Trustees.

4.3.G Rules of General Application

(1) The Advisory Board may delegate to a subcommittee of its members any of its functions except deciding if there should be an Evidentiary Hearing, what material issues of historical fact are in dispute, whether the Hearing Officer's findings of historical fact are supported by substantial evidence, whether professional misconduct has occurred, and, if so, what sanctions are appropriate.

(2) The burden of proof by clear and convincing evidence is upon the University in hearings before the Hearing Officer to prove the factual elements of the charge. The faculty member has the burden of proof by a preponderance of the evidence on any affirmative defenses raised by the faculty member.

(3) The faculty member has the right to have an advisor of his or her choice accompany him or her during the hearings, the rights of confrontation and cross-examination, and the right to refuse to testify in the hearings.

(4) The faculty member may choose either private or public hearings. Both the Advisory Board and the Hearing Officer, however, may entertain motions (from either party) that all or part of the hearings be held in private.

(5) Formal rules of evidence do not apply.

(6) The faculty member may request from the University, in writing, information regarding any matter, not privileged, which is relevant to the material issues of historical fact, or which appears reasonably calculated to help the faculty member learn of admissible evidence. The University will provide this information or will inform the Hearing Officer as to its reasons for not providing the information. After consideration of those reasons, the Hearing Officer may order the University to provide such information. The University shall not be required to disclose information prepared for the purpose of litigating the case. Even in the absence of a request by the faculty member, the University must disclose any information it believes to be exculpatory of the faculty member.

(7) The University may request disclosure of any non-privileged tangible evidence from the faculty member. Upon application by the University describing such evidence, the Hearing Officer may order the faculty member to produce it.

(8) The proceedings of the Hearing Officer and the Advisory Board will be as expeditious as possible.

(9) A record will be maintained of all hearings under this Statement.

(10) Once charges are forwarded to the Advisory Board, both the Provost and the faculty member are to provide copies to each other of all written communications to the Board or the Hearing Officer.

(11) At the request of the faculty member, and if he or she can demonstrate that his or her own financial resources have been exhausted, the Advisory Board may recommend to the Provost that the University provide funds to pay for what the Board regards as essential for an adequate defense.

(12) The time guidelines contained in these procedures may be modified by the Hearing Officer or the Advisory Board if warranted by the circumstances.

Section 4.4 STATEMENT ON APPOINTMENT AND TENURE

The following *Statement of Policy on Appointment and Tenure* was approved by the Board of Trustees, following approval by the Senate of the Academic Council, on September 21, 1967. It was amended by the Board of Trustees, following approval by the Senate of the Academic Council, on the following dates: September 14, 1971; January 9, 1973; October 8, 1974; April 8, 1975; September 9, 1975; April 13, 1976; September 14, 1982; June 12, 1992; April 9, 1996; and December 4, 2001. This policy statement applies to members of the Academic Council (Professoriate as defined in Section 1.2.F of this Handbook).

4.4.A Terms of Academic Appointment

(1) The precise terms and conditions of every academic appointment shall be stated in writing and be in the possession of both the University and the appointee before the appointment is consummated. The Statement of Policy, or any modification thereof, will be made available to all administrative and teaching personnel.

(2) Except as provided in this paragraph, all academic appointments shall be made either (a) for a stipulated number of years, (b) for a continuing term of appointment, or (c) without limit of time. An academic appointment without limit of time shall be considered as a permanent appointment i.e. the term shall be understood to extend from the effective date of the appointment to the date of academic retirement of the appointee. Conditions of an academic appointment made for a continuing term are specified in Section 4.4.B(3) of this Statement. Exception: An academic appointment made for the duration of either (a) an administrative appointment or (b) a specific project, which appointment or project is indefinite as to time, shall, unless otherwise expressly stipulated, be construed as terminating on the expiration of the appointment or the project. Academic appointees terminated under this provision are entitled to the benefits conveyed in Section 4.4.E of this Statement.

4.4.B Security of Appointment and Tenure

(1) Security of appointment is defined as the right not to be dismissed, involuntarily retired early, or subjected to discriminatory reduction of salary before the expiration of the term of an academic appointment except on the basis of:

a. a finding, as provided in Section 4.4.F(1), of substantial and manifest incompetence; or

b. a determination pursuant to the Statement on Faculty Discipline; or

c. a determination, as provided in Section 4.4.F(3), of serious and protracted disability or protracted absence without leave; or

d. a determination, as provided in Section 4.4.F(3), of the University's extraordinary financial emergency.

(2) Tenure is security of appointment which continues to the date of academic retirement. Any appointment without limit of time carries tenure automatically. Tenure may also be acquired by length of service as provided in Article IV, Section 4.4.D(1), in which case tenure shall imply the right of continual reappointment until the date of academic retirement.

(3) Every academic appointment carries security of appointment, as defined in Article II, Section 4.4.B(1), for its duration, except that a continuing term of appointment may be terminated, with notice as provided in Section 4.4.E(1), when satisfactory performance or programmatic need ceases. Tenure, however, accrues only (a) by virtue of an appointment without limit of time or (b) by virtue of length of service as provided in Article IV, Section 4.4.D(1).

4.4.C Appointments

(1) Professors shall be appointed without limit of time, unless otherwise expressly specified.

(2) Associate Professors shall customarily be appointed for a term of six years, but may be appointed for a shorter term of years or without limit of time. Appointments for a term of years are renewable.

(3) Assistant Professors shall customarily be appointed for a term of three years, but may be appointed for any term not exceeding five years. Such appointments are renewable, but not normally beyond a total of seven years at this rank.

(4) Appointment at the rank of Professor (Teaching), (Performance), or (Research) or Associate Professor (Teaching), (Performance), or (Research) shall be for a term of up to six years' duration. Reappointment at the rank of Associate Professor (Teaching) or (Performance) may be for renewable terms of up to six years' duration or for a continuing term of appointment. Promotion to or reappointment at the rank of Professor (Teaching) or (Performance) shall be for a continuing term of appointment. Promotion to or reappointment at the rank of Professor (Research) or Associate Professor (Research) may be for renewable terms of up to six years' duration or for a continuing term of appointment.

(5) Reappointment at the rank of Professor (Applied Research) may be for renewable terms of up to six years' duration or for a continuing term of appointment.

(6) Reappointment at the rank of Associate Professor (Clinical) may be for a term of years not to extend beyond August 31, 1995. Reappointment at the rank of Professor (Clinical) shall be for a continuing term of appointment.

(7) Appointment at the rank of Assistant Professor (Research) shall be for an initial term of up to six years. Such appointments are renewable, but not normally beyond a total of six years in this rank.

4.4.D Tenure by Length of Service

(1) Any appointment, promotion or reappointment for a term of years which extends the individual's total length of full-time service at Stanford University at the rank of Assistant Professor, Associate Professor, or Professor or at more than one of such ranks beyond seven years shall confer tenure. This holds unless the period beyond seven years occurs after a review for tenure has been initiated, in which case the time beyond seven years shall not confer tenure. In the calculation of years of service toward tenure, any part-time appointment shall be prorated on the basis of the fraction of a full-time appointment represented, but any such appointment which extends total service at these ranks beyond ten years shall confer tenure. Such periods of service need not be continuous. Periods of leave without University service shall be deducted in computing length of service under this provision, unless it is expressly agreed in writing by the President's Office before the leave begins that the period of leave may be counted toward the acquisition of tenure. Exceptions:

a. Service under an academic appointment made for the duration of either an administrative appointment or a specific project shall not count toward the acquisition of tenure by length of service.

b. A faculty member who becomes a parent, by birth or adoption, while serving under an appointment which accrues time toward tenure by length of service may, subject to any necessary reappointment, request that the time after which tenure would be conferred by length of service be extended by one year. Faculty who request this extension are expected to have substantial and sustained childcare responsibilities. Requests should be received by the Provost within one year of the arrival of the child. In addition, requests should be received prior to the beginning of the faculty member's final year of tenure accruing service. For adoptive parents to be eligible for this extension, it is expected that the child will be no older than five years of age at the time of the adoption.

(2) Only service at the ranks of Assistant Professor, Associate Professor, and Professor shall count toward acquisition of tenure by length of service. Persons holding acting appointments do not accrue time toward tenure by length of service.

(3) For appointments beginning after August 31, 1996, the total length of untenured full-time service without tenure at Stanford University at the tenure line ranks of Assistant Professor, Associate Professor, or Professor (or at more than one of such ranks) may not exceed ten years, regardless of the number of leaves without salary, extensions for new parenthood, or time spent in either an administrative appointment or on a specific project.

(4) Academic service at other institutions shall not be counted toward acquisition of tenure at Stanford under Section 1(a) of the Statement of Policy on Appointment and Tenure.

4.4.E Prior Notice of Nonrenewal

(1) A faculty member (tenure line or non-tenure line) holding a renewable appointment for one year shall be notified by March 15 if the appointment is not to be renewed. Failure to give timely

notice of non-renewal shall entitle the individual to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Section 4.4.D(1). When, to a faculty member holding a continuing appointment or a renewable appointment for more than one year, notice of termination or of non-renewal is not given before July 1 of the penultimate year of the contract, the appointee shall be entitled to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Section 4.4.D(1).

4.4.F Dismissal

(1) a. Where the University proposes to dismiss an academic appointee or to penalize the faculty member by a discriminatory reduction of salary for reasons of substantial and manifest incompetence, as specified in Section 4.4.B(1)a, the individual shall first be notified (confidentially, if possible) of the charges and given an opportunity to reply. If the matter cannot be settled by agreement and if the individual wishes to contest the charges, the individual may demand a formal hearing before the Advisory Board. If such a demand is made, the President shall submit a formal statement of the charges in writing to the chair of the Advisory Board, with a copy to the individual. The chair of the Advisory Board shall set a time and place for a hearing of the charges, giving notice to the individual and allowing him or her sufficient time to submit a written reply to the charges and to prepare a defense. The hearing shall be private unless either the individual faculty member demands a public hearing or the Advisory Board, by majority of the whole Board, after consultation with the parties, decides upon a public hearing. If facts are in dispute, the Advisory Board shall take the testimony and receive evidence. Both parties may have the assistance of counsel and shall have the right of confrontation of witnesses and cross examination. However, technical rules of legal evidence need not be strictly applied. A stenographic record of the hearing shall be kept and copies made available to both parties. Oral arguments may be made by both sides after the evidence has been submitted and, if the Advisory Board desires, supplementary written briefs may also be submitted. The Advisory Board shall make a written decision including express findings upon all disputed matters of fact and should make an explicit ruling in the light of the evidence as to the sufficiency or insufficiency of each of the alleged grounds for dismissal. If the decision is not unanimous, that fact should be stated and the grounds of dissent indicated. Copies of the decision should be forwarded promptly to both parties, but the Advisory Board should not make its decision public until the case has been considered by the President.

b. The Advisory Board shall submit to the President its decision and the transcript of the hearings. If the President does not accept the decision of the Advisory Board, the President shall resubmit the case to the Advisory Board for reconsideration with a statement of questions or objections. The Advisory Board shall then reconsider the case in the light of such questions or objections, holding further hearings and receiving new evidence, if necessary, and rendering a new decision in the same manner as before. Only after study of the reconsidered decision of the Advisory Board may the President make a final decision overruling the Advisory Board. In such case, the President will give the reasons to the Advisory Board and to the faculty member concerned. In case the decision of the President is to terminate employment, such decision shall not become effective until it has been reported to and concurred in by the Board of Trustees.

c. The transcript of the hearing shall not be made public by the University except upon decision of the Advisory Board, made by majority vote of the whole Board, and concurred in by the President.

(2) Disciplining of faculty members pursuant to the *Statement on Faculty Discipline* shall be governed by the procedures provided therein.

(3) Dismissals by reason of disability, or protracted absence without leave, or extraordinary financial emergencies under Section 4.4.B(1) c or d, shall be made by the President only after consultation with the Advisory Board and after appropriate advance notice to the faculty member concerned, but no formal hearings shall be required.

(4) Suspension of a faculty member during proceedings under Sections 4.4.F(1), (2), or (3) of this article is justified only if immediate harm to the faculty member or others is threatened by continuance in his or her regular duties. Any such suspension shall be with pay.

(5) This Statement governs the terms and conditions of individual academic appointments. It shall not be construed to limit the power of the Board of Trustees, upon recommendation by the President after consultation with the Advisory Board, to determine what academic activities may from time to time be initiated, modified, or discontinued. This power is a necessary corollary of the Board of Trustees' duty to oversee the academic programs of the University. This power shall not be invoked as a substitute for the dismissal provisions of Section 4.4.B(1) and Sections 4.4.F(1),(2),(3) hereof. In the event of modification or discontinuance of an academic activity in circumstances other than those of extraordinary financial emergency, the University will make every effort to reassign tenured members of the faculty. If reassignment is impossible, the University will provide every possible assistance in obtaining new positions and will give the individuals concerned at least twelve months' notice before severance.

4.4.G Applicability Provision

(1) Any person already holding an academic appointment in the University whose non-tenure status could be extended by this Statement must be seriously considered for tenure at the time the person would have been considered had this Statement not been adopted. If the person is not at that time granted tenure but his or her employment is continued, he or she is entitled to be considered again at the conclusion of the longer period permitted by this Statement.

(2) Periods of instructorship served prior to September 1, 1967, shall not count toward the acquisition of tenure.

(3) Each Dean will be notified when this Statement has become effective and must inform each member of the school of his or her tenure and appointment status as of September 1, 1967, giving continuing recognition to any prior agreements. Any person who disagrees with this status report must raise the matter with the Dean in writing two months after being so informed.

(4) The Provisions of Section 4.4.C(4), notwithstanding, persons holding the positions of Associate Professor of Clinical (Subject), Senior Lecturer, Senior Research Associate, Senior

Scientist, and the like, terminating on or after September 1, 1974, and who are members of the Academic Council, shall continue their membership for the duration of their current appointment and shall be Adjunct Professors of (Subject), or, in the case of Associate Professors of Clinical (Subject), Professors of Clinical (Subject), for the duration.

(5) The provision of Section 4.4.D(1), regarding calculation of years of service toward tenure by part-time appointment shall apply at the appointee's option to persons holding part-time appointments as Assistant Professor or Associate Professor either (a) only for time accrued commencing September 1, 1974, or (b) for all previous part-time service at these ranks not exceeding nine years.

(6) The provision of Section 4.4.E(1), shall apply to notification of members of the faculty holding appointments terminating on or after August 31, 1976. Members of the faculty whose appointments expire prior to August 31, 1976, shall be given notice of non-renewal by March 15, where the appointment is a renewable appointment for one year and by December 1 of the final academic year of the term where the appointment is a renewable appointment for more than one year. Failure to give timely notice of non-renewal shall entitle the individual to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Section 4.4.D(1).

Chapter 5: Salary, Benefits and Retirement

Last updated: March 29, 2010

(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

Stanford University provides compensation to faculty members in the form of salary and other benefits. The following descriptions are intended to provide some basic information about the compensation program and benefit plans. All benefits plans are subject to change. Complete information on benefits is available from the Benefits Office, <http://benefits.stanford.edu/>.

5.1. COMPENSATION

5.1.A Approval of Faculty Salaries

All faculty salaries must be approved by the Dean of the School and the Provost before the salary is communicated to the faculty member. Additionally, salaries above a threshold set by the Board of Trustees must be approved by the Compensation Committee of the Board of Trustees. Salary changes, including certain types of supplementary compensation and salary during a leave of absence, require the same authorization and review process. Salary increases for a new academic year are effective on September 1st. Such increases are not automatic and shall be based on performance, applicable compensation policies and budgetary considerations.

5.1.B Salary Payment

Stanford paydays are the seventh and twenty-second of each month or the nearest preceding working day if the payday falls on a weekend or holiday. Most faculty members choose to have their paychecks deposited directly into their bank accounts. Arrangements for direct-deposit may be made with the Payroll Office; on paydays a statement of earnings and deductions is sent online rather than a paper statement. For those faculty who do not elect direct-deposit, checks will be delivered to their primary department.

Each paycheck includes a statement which shows the legally-mandated amounts taken from pay such as Federal withholding tax, California withholding tax, State Disability Insurance (SDI) or Voluntary Disability (VDI) tax, and Social Security tax (FICA), plus any reductions or deductions that have been authorized in writing, such as retirement and other benefit plans, credit union deposits, loan payments, and contributions to United Way and Stanford University. A payroll deduction continues until it expires or until a change or termination is authorized.

A faculty member on a nine-month academic year calendar during the University's fiscal year (September 1 through August 31) may elect prior to September 1, in writing or by email, to have his or her salary paid over a ten, eleven, or twelve-month period, commencing September 1, on the bi-monthly Stanford paydays described above. Any such election shall be irrevocable, once the academic year has begun. In the absence of an election for a given academic year, the election in effect for the preceding academic year shall apply. If no election is made or carries over from a prior year, salaries shall be paid over a nine-month period.

5.1.C Additional Compensation Policy

As members of the University's academic community, faculty are expected to participate in a variety of Stanford activities and services without additional compensation. For example, additional compensation is not warranted for committee service or occasional service outside of the faculty member's school or department that does not require a significant time commitment. However, additional compensation may be appropriate for significant contributions to special programs or activities which serve school or University needs. Members of the Academic Council and the Medical Center Line faculty may be eligible for such additional compensation from the University beyond their annual base salaries.

Additional compensation offered by a school to a faculty member in another school must be approved by the dean of the faculty member's primary school in advance of the service being performed. This requirement is intended to ensure that deans are aware of the full scope of the obligations of their faculty members across the University and in order to determine whether the faculty member's total compensation exceeds the threshold for reporting to the Board of Trustees. Additional compensation for faculty in amounts in excess of \$5,000 must also be approved by the Provost in advance of the service being performed.

Additional compensation may be appropriate for nonstandard teaching activities at any time of year; fourth quarter payments for standard teaching and; administrative supplements for significant administrative service in connection with academic programs or activities. Additional

compensation in the form of honoraria may be appropriate for occasional contributions to events outside of the faculty member's school or department.

5.1.C(1) Nonstandard Teaching Activities

a. Definitions

Standard teaching activities, which do not result in additional compensation, include teaching a course that is part of a regular Stanford degree program and any other teaching specifically recognized (either at the time of hiring or subsequently agreed upon by a faculty member and his or her department chair or dean) as constituting regular teaching responsibilities. Courses for which teaching is considered standard are usually listed in the Stanford University Bulletin, the Time Schedule, and/or the Summer Session Bulletin. All departmental and interdisciplinary curricula courses are in this category. Occasional guest lectures are part of standard teaching responsibilities. Regular teaching duties also include course development, reading honors theses, serving on dissertation committees and conducting PhD exams in the faculty member's department.

Nonstandard teaching activities go beyond the normal requirements of teaching, research, patient care, and/or other University duties. Frequently innovative, they can benefit both the University and participating faculty members. Nonstandard teaching activities that may warrant supplementary compensation include, but are not limited to, participation in executive programs in the Graduate School of Business and the School of Engineering, in Continuing Studies and Stanford Alumni Association courses, in Postgraduate Medical Education Seminars, in the Health Improvement Program and in some courses offered by the Office of the Vice Provost for Undergraduate Education. In addition, nonstandard teaching may (under certain circumstances) include teaching in another unit that goes above the standard teaching requirement of a faculty member's primary department or school.

Where the distinction between standard and nonstandard teaching activities is not clear, the faculty member has the responsibility of consulting with his or her department chair or dean in advance of making any commitment to teach, about the character of and amount of time to be spent on the proposed activity, and whether it will be the subject of supplementary compensation.

b. Approval of Nonstandard Programs

The Provost reviews and approves nonstandard teaching programs for eligibility to offer supplementary compensation to faculty. Approval must be obtained before arrangements are made with faculty. Requests for approval must include a description of the program, when courses are offered, and the formula used to determine the amount of time per course for which participating faculty are compensated. Approval is required by the Dean of the School in which the program is offered and by the Provost. However, it is not necessary to seek approval from the Provost for each faculty member's compensation for a previously approved program, if the new amount is not more than 10% over the previous year's compensation for the program.

c. Limits on Nonstandard Teaching

The limits placed on nonstandard teaching activities are the same as for outside consulting

activities. The maximum number of nonstandard teaching days permissible for Academic Council members on full-time appointments is 13 days per academic quarter. As teaching is normally viewed in hourly terms, this translates to 130 hours per academic quarter, including preparation time. Faculty members who engage in outside consulting and/or nonstandard teaching may not exceed the 13-day limit for the two activities combined in quarters of full-time employment.

The following policies conform to Guidelines for Implementation of the Policy on Outside Consulting (See Research Policy Handbook, available from the Dean of Research or on-line at <http://rph.stanford.edu/4-1.html>).

Averaging—A reasonable amount of "averaging" over the three quarters of the academic year (or full year for faculty on four-quarter appointments) is ordinarily acceptable, if discussed prospectively with the faculty member's department chair or dean. Averaging from quarters of less than full-time service to quarters of full-time service is not permitted.

Periods of Part-time University Employment—The 13-day limit should be prorated for part-time appointments using the following formula: $(13 \times F) + ((1-F) \times 6 \times 13)$, where F is the fraction of full-time duty, 13 represents the average number of weeks per quarter, and 6 represents the maximum number of days per week likely to be devoted to professional activities. For example, a faculty member holding a 75% appointment is permitted up to 29 1/4 days of consulting/nonstandard teaching per quarter.

Fourth Quarter—Faculty on nine-month appointments with no salary supplement for the fourth quarter (usually summer) are not subject to the 13-day limit during the off-duty quarter but are subject to the limit for the quarters they are on duty. The 13-day limit applies to faculty receiving a 3/9 salary supplement for the fourth quarter. If the salary supplement is for less than 3/9 time, one of the following applies: 1) the appointment specifies a particular "on duty" calendar period during which the regular supplementary compensation policy applies and there is no limit during the remaining time; or 2) the appointment is part-time for all or part of the quarter and the prorating for part-time employment applies.

Leave without Salary—The 13-day limit does not apply to faculty on leave without salary. For leaves without salary for a portion of a quarter, the 13-day limit should be prorated on the basis of one day per calendar week of duty time.

Sabbatical Leave—Faculty on sabbatical leave who are receiving full-time University salary are subject to the 13-day limit. Faculty on sabbatical leave receiving less than full-time University salary may supplement income up to the full-time base salary, and in addition, may devote a maximum of 13 days to consulting/nonstandard teaching.

d. Responsibilities of Faculty

Faculty are responsible for adhering to limitations on nonstandard teaching activities as well as other aspects of the supplementary compensation policy. Moreover, faculty are expected to live up to the spirit of this policy as well as to its specifications, including obtaining prior approval from their Deans before committing to any such activities. Questions or ambiguities should be

resolved with department chairs and deans prospectively to avoid negative effects on the primary functions of the University. Faculty are obliged to maintain accurate records of nonstandard teaching activities and to report fully on them when asked to do so by the University. As with consulting, the University has the right to protect itself from losses if a faculty member violates limitations set by this policy. The University may seek administrative remedy and/or reimbursement from a faculty member for salary and benefits covering time spent on nonstandard teaching in excess of the limits provided by this policy, particularly where amounts of time are significant and/or the faculty member did not seek prior consultation or follow advice given by his or her department chair or dean. See also the Faculty Policy on Conflict of Commitment and Interest at <http://rph.stanford.edu/4-1.html>.

5.1.C (2) Fourth-Quarter Payments for Teaching and Research Activities (for faculty appointed on a nine-month calendar)

This section applies to faculty members appointed on a nine month calendar, regardless of whether salary payments are spread over a twelve month period. Faculty appointed on a twelve month calendar are not eligible for special fourth quarter compensation.

Faculty may be paid up to 20% of their annual base salary for full-time teaching of standard courses during the fourth quarter. For teaching during the fourth quarter of specially-designed courses that require extra preparation but are part of the regular curriculum, a faculty member may be paid up to 3/9 of his or her annual base salary. For full-time research or a full-time combination of standard teaching and research during the fourth quarter, faculty may be paid 3/9 of their annual base salary. All such fourth quarter payments shall be calculated at the rate of pay in effect at the beginning of the fourth quarter. Prorated amounts may be paid for less than twelve weeks and for part-time service.

5.1.C(3) Administrative Supplements

Administrative supplements are paid to faculty who take on significant administrative duties that are outside of their usual faculty responsibilities or normal committee work. An administrative supplement may be given when the faculty member is expected to contribute considerably more time to the University, to set aside his or her research to take on administrative tasks, and/or to assume greater responsibility on behalf of Stanford. Examples of the types of administrative roles for which administrative supplements are paid are departmental chairs, associate deans, program directors and chairs of long-standing committees. The amount of the administrative supplement reflects the level of commitment and complexity of the administrative role. The administrative supplement may take the form of salary, increased sabbatical or research funding. The form is negotiated with the faculty member and approved by the relevant Dean. Administrative supplements are contingent on and coterminous with continued satisfactory service in the appointed administrative role, which service is at the pleasure of the appointing administrative officer.

5.1.C(4) Honoraria

Occasionally, a faculty member may contribute to special events such as symposia, professional conventions organized and held at Stanford, or lecture series organized by Stanford colleagues outside his or her own department. Faculty may also take on other nonstandard University activities outside his or her own department at the request of the Dean or Provost. Such exceptional service may warrant supplementary pay in the form of one-time honoraria.

5.2 BENEFITS

5.2.A Health and Welfare Benefits

The University offers a variety of medical insurance plans and disability benefits to its employees. Information about these health and welfare benefit plans is available from Stanford Benefits at <http://benefits.stanford.edu/>.

5.2.B Housing

The University makes available faculty housing programs in order to further Stanford's objectives of teaching and research. The Office of Faculty Staff Housing, a division of the Office of the Provost, provides a variety of programs and information to help eligible Stanford faculty and staff make the transition into a new home as smooth as possible. Information regarding on-campus and off-campus housing and financing mechanisms is available from the Office of Faculty Staff Housing at (650)725-6893 or at <http://fsh.stanford.edu>.

5.2.C Moving Allowance

In some cases, reimbursement for all or part of the actual and reasonable expenses of moving a household may be authorized for new faculty members by the appropriate dean, department chair, director, or other University officer. Conditions and restrictions apply, and the policy is subject to change. For current information, including tax treatment of such allowances, consult [Administrative Guide 36.8](#).

5.2.D Identification Cards

The Registrar's Office issues photo identification cards to faculty and other employees. The card is necessary for use of University facilities and services such as libraries, athletic events, and other activities. Courtesy photo identification cards are available to spouses and same-sex domestic partners of faculty. For current information, consult [Administrative Guide 28.4](#).

5.2.E Travel Expenses

It is University policy to reimburse employees and non-employees for necessary and reasonable travel expenses incurred for authorized University business. The University travel policy is described in [Administrative Guide 36.7](#).

5.2.F Retirement

The University offers a generous medical insurance program for Faculty members who retire and meet the program's eligibility requirements. Eligibility is based on your age, the date you were hired, plus the number of eligible years of service you accrue. You should contact Stanford Benefits in order to determine your personal eligibility.

For purposes of personal financial planning, the University will provide Academic Council and Medical Center Line faculty and Hoover Institution Senior Fellows up to \$500 for reimbursement for the services of financial planners or consultants. This reimbursement, which is treated as taxable income to the faculty member, is available only once in an individual's career and requires the submission of a receipt to the Faculty Affairs Group of the Provost's Office. Please contact the Faculty Affairs Group (facultyaffairs@stanford.edu) of the Provost's Office for more information about this reimbursement.

Although not compelled to retire at any age, Stanford faculty nevertheless consider retirement arrangements as part of their personal and professional planning. Many Stanford faculty, individually and through the Academic Senate, expressed interest in the development of options to increase the financial feasibility of retirement. In response, Stanford University has made available the Faculty Retirement Incentive Program. The Faculty Retirement Incentive Program, like any University benefits program, is subject to change or termination by the University. Only those benefits that are payable to an individual who is a party to a fully executed Agreement and Release under the program will be protected from change or termination by the University. Specific information about any current faculty retirement incentive program may be obtained at <http://provost.stanford.edu/frip/> or from Faculty Affairs at facultyaffairs@stanford.edu.

5.2.G Emeritus Status

Faculty members who become official University retirees receive the emeritus or emerita title authorized by the Board of Trustees, and Academic Council members become Senior Members of the Academic Council with privileges of the floor and of service on committees, but without the right to vote or hold office. Emeriti may retain a campus home, retain Faculty Club membership, and receive free campus parking privileges. Eligible emeriti may also use the Tuition Grant Plan for any eligible children. Other benefits include participation in a University health plan, use of the libraries, and access to other facilities and services of the University. The availability and allocation of office or laboratory space and/or secretarial services varies by department and school; questions should be addressed to the department chair or dean. See <http://benefits.stanford.edu/>.

Chapter 6: Academic Staff-Teaching: Lecturers, Senior Lecturers, Artists-in-Residence: Appointments Policies And Procedures

Last updated: October 1, 2001

(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

At Stanford, the non-professorial academic staff is composed of the Academic Staff-Teaching (persons holding the titles Lecturer, Senior Lecturer, and Artist-in-Residence) and the Academic Staff-Research (persons holding the titles Research Associate, Senior Research Scientist, Senior Research Engineer, and Senior Research Scholar). For policies and guidelines pertaining to the Academic Staff-Research, see the [Research Policy Handbook 9.1](#).

The following policies and guidelines pertain to the Academic Staff-Teaching. They shall be subject to revision by the Provost from time to time. Requests for exceptions to these guidelines must be approved by the Provost's Office.

All individuals who teach a course for credit at Stanford University must have a professorial appointment or an Academic Staff-Teaching or Other Teaching Staff appointment approved for the quarter or term in which the course is offered. This policy applies to other Stanford employees, such as administrators, who engage in teaching activities. For information about Other Teaching Staff appointments, see [Chapter 9](#) of this handbook.

Individuals appointed as Lecturer, Senior Lecturer, and Artist-in-Residence are not members of the Academic Council; they are, therefore, not normally eligible to act as principal investigators on sponsored research projects. (See the [Research Policy Handbook 2.4](#) for information about principal investigatorship.) Lecturers, Senior Lecturers, and Artists-in-Residence are not eligible to take sabbatical leaves. Although they may apply as candidates for open faculty posts, they are not on a tenure line.

I. TERMS OF APPOINTMENT

1. These guidelines, and any modifications thereof, will be made available to all administrative personnel and academic staff members, and, upon request, to other members of the Stanford faculty and staff.
2. Academic staff appointments shall be made either:
 - a. For a stipulated length of time.
 - b. For a continuing term of appointment. The "continuing term" is not a tenured appointment. Rather, "continuing term of appointment" signifies that the individual will be terminated only for

just cause, for lack of satisfactory performance, or for lack of programmatic need (including budgetary considerations).

c. For the duration of either an administrative appointment or a specific project.

Academic staff appointed for a stipulated length of time or for a continuing term of appointment are entitled to the notice provisions of Article III below. An academic staff appointment made for the duration of an administrative appointment or a specific project shall, unless otherwise expressly stipulated, be construed as terminating on the expiration of the administrative appointment or the project.

A. Lecturer Appointments

The title of Lecturer is used for individuals who perform a significant amount of the regular instruction with continuing programmatic need in departments and programs; for persons of special expertise or scholarly distinction either in the local community or on the non-teaching University staff who are asked on an occasional basis to give a course or part of a course in their special fields; and for individuals who are employed to meet specific departmental needs created by faculty leaves or unanticipated student load. In all of the above cases, the needed courses will be well-defined and the goals will be established by the faculty of the department or program.

Lecturers who serve in positions for which continuing programmatic need exists teach under supervision by or with guidance from one or more faculty members and/or Senior Lecturers. Faculty members in departments and programs are responsible for defining the intellectual goals of the program at the time the Lecturer position is requested and for continuing supervision and review/revision of goals.

Lecturer appointments are expected to be full-time to the extent possible, except that some part-time positions provide the flexibility needed to accommodate enrollment variation, and some other needs are only part-time in nature.

Initial appointments of Lecturers at 50 percent time or more are generally expected to be for one-year terms, and should be no more than two-year terms, with the possibility of reappointment after a review by the faculty and Senior Lecturer(s) responsible for the program for a term not to exceed five years of total service at 50 percent time or more. During the fifth year of employment at 50 percent time or more, Lecturers may be reviewed for possible reappointment to an additional five year term or, in those cases in which the needs of the program meet the criteria, for possible promotion to the rank of Senior Lecturer by a review committee of no more than six members, at least three of whom are Academic Council members. There is no limit on the number of five-year reappointments a Lecturer may be granted as long as there is an outstanding teaching record and continued programmatic need.

Lecturers should have annual conferences with department chairs or their designees to discuss their performance and department expectations.

Lecturers in positions of continuing programmatic need should be integrated into the governance of their departments, although they do not have Academic Council membership. Departments should not expect Lecturers to take on departmental administration and advisory roles beyond those associated with the specific programmatic need for which they were appointed.

B. Senior Lecturer Appointments

The title of Senior Lecturer is associated with a demonstrably higher level of responsibility and teaching excellence than that of a Lecturer, rather than with seniority or longevity; and there is normally only a limited number of Senior Lecturer positions in any program.

The primary evaluation of a Lecturer for appointment or promotion to Senior Lecturer is by a review committee appointed by the department, program, or school that consists of no more than six individuals, at least three of whom must be Academic Council members.

Individuals who are promoted to the rank of Senior Lecturer should hold continuing appointments. Initial appointments at the rank of Senior Lecturer may be for a continuing term or for a term of up to five years' duration. Initial term appointments are allowable so long as the individual's immediately preceding appointment was not as a member of the Academic Council or as a Lecturer at Stanford. Upon reappointment, Senior Lecturers on fixed terms must be given continuing appointments.

Senior Lecturers should have annual meetings with department chairs or their designees to discuss performance and departmental expectations; and departments should carry out regular, in-depth evaluations of Senior Lecturers no more frequently than every three years and no less frequently than every five years.

Senior Lecturers in positions of continuing programmatic need should be integrated into the governance of their departments, although they do not have Academic Council membership. Departments should not expect Senior Lecturers to take on departmental administration and advisory roles beyond those associated with the specific programmatic need for which they were appointed.

C. Additional Comments on Continuing Term Appointments

A Senior Lecturer on continuing appointment is subject to termination for just cause, for lack of satisfactory performance, or for programmatic reasons (including budgetary considerations). Although a department or school may foresee a continuing programmatic need at the time of appointment or promotion to Senior Lecturer, that need may change. For example, the department or school may decide to phase out a particular area altogether. Or an area may simply be phased down, necessitating a decrease in the teaching staff. Alternately, a department or school may have had a small program in a specific field, with a few courses taught by a Senior Lecturer but no graduate training in the field. The decision might be made to build up the area into a graduate program or in other ways which would necessitate the appointment of faculty members rather than teaching staff. Appointment as a Senior Lecturer on a continuing

appointment is, thus, not tenured. Rather, it is always subject to continuing programmatic need and satisfactory performance.

D. Artist-in-Residence Appointments

Artists-in-Residence, a rank established by the Provost in September, 1996, may be appointed at full or part-time for any term of up to five years, and, depending on programmatic need (including budgetary considerations) and performance, may be reappointed to an unlimited number of consecutive terms of up to five years. They may not be considered for continuing terms of appointment. Artists-in-Residence will have teaching and/or other responsibilities, such as performance, specified by their department. Artists-in-Residence will have annual conferences with their department chairpersons or their designees to discuss performance and department expectations.

II. PROCEDURES FOR APPOINTMENTS, REAPPOINTMENTS, AND PROMOTIONS

Appointment recommendations for Lecturers and term appointments of Senior Lecturers are approved by the Provost or her designate. Promotions to or appointments of Senior Lecturers for continuing terms are reviewed by the Provost and the Chair of the Advisory Board and approved by the President. Appointments of Artists-in-Residence are approved by the Provost and reported to the Advisory Board and President.

The [Appendix D](#) form, “Recommendation for Teaching Appointment, Lecturers and Other Teaching Staff” should be used for teaching appointments of Lecturers; Visiting, Consulting, and Clinical Assistant Professors, Associate Professors, and Professors; Acting, Visiting and Clinical Instructors; and appointments (By courtesy). For appointments of Senior Lecturers or Artists-in-Residence, use the [Appendix E](#) form, “Recommendation for Appointment as Senior Lecturer or Artist-in-Resident.”

There are significant variations in the circumstances under which individuals qualify for and secure appointments in the Academic Staff-Teaching ranks. The length of term may vary from one quarter to continuing term; individuals may serve at part-time or full-time, with or without salary. The recommendation procedure and form are designed to insure that an appointee is qualified for his or her specific role, as well as to provide departments, schools, and the Provost with information concerning the specific circumstances which warrant the appointment, the courses to be taught by the appointee, etc. Recommendations submitted are reviewed in the Provost’s Office. Retroactive appointments are considered only in unusual circumstances; a person without a valid teaching appointment should not commence teaching responsibilities without approval of the Provost.

A. Search Procedures

When a department or school proposes the appointment, reappointment, or promotion of a salaried Lecturer or Senior Lecturer, the dean and department chair must be especially concerned with a careful evaluation of the department’s or school’s programmatic need for the position.

The recommendation should include a brief statement outlining the programmatic reasons which warrant the appointment and describing the specific role that the candidate is expected to fill.

Deans and department chairs must also be concerned with a careful evaluation of the candidate's teaching ability. For appointments or reappointments of one year or less, the recommendation should briefly describe available evidence of the candidate's teaching abilities. For appointments, reappointments, or promotions of durations greater than one year, the recommendation should specify the kinds of teaching expected of the candidate and provide specific evidence of teaching performance in those areas, including faculty and student evaluations. If the candidate is presently at Stanford, the evaluation should include a summary of teaching commitments for the period of time that the individual has taught at Stanford (up to three years) with course titles and numbers, units, and enrollments.

For new appointments as Lecturer or Senior Lecturer averaging half-time or more for one year or more, departments and schools are obligated to conduct a search for the position. The search range should be appropriate to the position and need not be national in every instance. The method of search should be briefly described on the recommendation form (e.g., names of institutions contacted, method and extent of advertising, if applicable). Outside sources consulted for information, and evaluation of possible candidates should be listed. Candidates seriously considered should be listed in order of priority. If the recommended candidate was not the first choice, the recommendation should include an explanation of the priority.

If the candidate is not a woman or a member of an ethnic minority included within the Affirmative Action Program, the recommendation should indicate which candidates do fall within the program and describe the affirmative action search followed with respect to the recommendation. Note that all letters and advertisements soliciting applicants must include a sentence like: "Stanford University is an equal opportunity employer and welcomes nominations of women and minority group members or applications from them." The sentence should be sufficiently strong so that applicants from these groups are encouraged to apply, but not so strong that individuals who are not members of these groups are discouraged from applying. It is desirable to notify female and minority group caucuses of the appropriate professional societies of the position.

When the recommendation is for less than one year or averages less than half-time, the department or school should simply indicate how the candidate and his or her qualifications came to the notice of the department or school.

B. Appointment Percentage of Time Considerations

Academic Staff-Teaching are considered full-time when they work for 3 consecutive quarters (i.e., autumn, winter, spring) or 2 semesters with pay at 100% time in each quarter or semester. In this case, they are appointed from September 1 through August 31. Percentages of full time (e.g., 75%, 50%) for appointments which are made for the year are determined by the average percentage of time the Academic Staff-Teaching member works during autumn, winter, and spring quarters.

Members of the Academic Staff-Teaching who are appointed from September 1 through August 31 may elect to have their salary paid over a 12-month period and receive University contributions to benefits plans every month in accordance with their percent time of appointment. Those who choose to be paid over a 9-, 10-, or 11-month period receive University contributions to benefits plans every month in accordance with their percent time of appointment, but must make special arrangements with the Benefits Office for the employee's contribution during periods in which salary is not paid. Academic Staff-Teaching who are reappointed annually must have their next year's appointment in place by July 1 of the current year in order to fall under this provision.

The Lecturer title may also be used for individuals who are on duty in non-sequential quarters during a single year and/or whose total service in any academic year averages to less than half-time. Departments and schools are encouraged to anticipate teaching needs for the year at the time of initial appointment and, if possible, to avoid quarter by quarter appointments. Departments and schools cannot always determine teaching needs in advance (e.g., last-minute enrollments may necessitate further teaching service, etc.). In such cases the department or school should recommend a Lecturer appointment for the minimum number of quarters and at the minimum percent time in each that can be foreseen as necessary at the time of the appointment. If additional teaching service is required, the percent time can be increased, or additional teaching personnel can be hired.

C. A Note on Visas

To hire a person from another country is a significant action, and the responsibility undertaken should be fully understood. The limitations and procedures pertaining to immigrant visas should be reviewed before an offer of long-term employment is made to a non-United States citizen, whether now residing abroad or in the United States on a nonimmigrant visa. The Director of the Bechtel International Center has been designated by the President to handle visa matters for foreign nationals, to advise in matters regarding immigration laws and regulations, and to execute visa petitions and other visa documents for the University. Before a preliminary offer of employment is made to a non-United States citizen and before the recommendation is forwarded to the Provost, the department chairperson or dean must contact the Director of the Bechtel International Center.

III. PRIOR NOTICE OF NON-RENEWAL AND TERMINATION

A. Lecturers, Senior Lecturers, and Artists-in-Residence holding salaried appointments for a term of one year shall be notified of non-renewal not later than March 15. Those holding salaried appointments for terms of two or more years shall be notified of nonrenewal not later than December 1 of the final academic year of the appointment. Failure to give timely notice of nonrenewal shall entitle the individual to a special reappointment for an additional terminal year.

B. When a Senior Lecturer holding a salaried continuing term of appointment is terminated for reasons of programmatic need (including budgetary considerations) or lack of satisfactory performance, he or she shall be notified of termination not later than December 1 of the final

academic year of the appointment. Failure to give timely notice of termination shall entitle the individual to a special reappointment for an additional terminal year.

C. When a Lecturer, Senior Lecturer, or Artist-in-Residence is terminated for just cause, including substantial and manifest incompetence or professional misconduct, he or she is entitled to 30 days' written notice of termination. Such dismissals are reviewed by the Provost's Office. In extreme cases, pay in lieu of notice may be given with the concurrence of the Provost's Office.

Chapter 7: Academic Staff-Teaching: Lecturers, Senior Lecturers, Artists-in-Residence: Leave Policies

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Short absences for personal business, illness, jury duty, military duty, and similar limited absences are normally with full salary. Lecturers, senior lecturers, and artists-in-residence do not accrue vacation or sick leave time, however. It is expected that when scheduling other periods of personal time off, one's academic responsibilities are taken into consideration. The department chair or program director should be notified in advance of any absence of a member of the academic staff-teaching on active duty that may affect class, laboratory, or other commitments.

Lecturers, Senior Lecturers, and Artists-in-Residence may apply for leave without salary. Such leaves must be reviewed for approval by the individual's department chair or program director and dean.

I. PROFESSIONAL DEVELOPMENT LEAVE PROGRAM FOR SENIOR LECTURERS

Senior Lecturers are eligible for professional development leave with salary beginning January 1, 2002. The purpose of this program is to enable them to pursue projects or other activities that will enhance their teaching-related activities at Stanford. The length of professional development leave is one quarter at 100% salary after 10 years of service (30 quarters or 20 semesters) or one quarter at 50% salary after 5 years of service (15 quarters or 10 semesters).

Professional development leave is not automatic; it requires approval by the program director or department chair as well as the school dean. Programmatic need may affect the timing of such leaves. For instance, the schedule of professional development leaves in programs that have a number of senior lecturers will take into account the teaching needs of the program as well as the professional development plans of the senior lecturers.

Under normal circumstances professional development leaves are expected to be of one quarter's duration, even when a senior lecturer has sufficient accrual for more than one quarter of leave. In these instances, the senior lecturer should work with his or her program director or department chair to develop a mutually satisfactory plan for taking professional development leave over a period of several years. The Application for Leave of Absence is provided in [Appendix AA](#).

Salary is provided during the professional development leave to make it financially possible for a senior lecturer to carry out his or her professional development leave activities. Total compensation during the leave should not normally exceed the senior lecturer's full-time Stanford base salary for the leave period.

Service at the rank of Senior Lecturer at Stanford counts toward professional development leave eligibility. Time spent on leave or disability is normally excluded in calculating professional development leave eligibility. Professional development leave eligibility may be accrued on a pro rata basis by regular part-time service at 50% time or more, under the same conditions of eligibility as applied to full-time service.

A senior lecturer is expected to serve at Stanford for a period of time comparable to the period of professional development leave following completion of the leave. Professional development leave should not normally be a terminal extension of a regular term appointment. Under usual circumstances, professional development leave may not be taken immediately preceding retirement.

II. FAMILY AND MEDICAL LEAVE (approved by the Provost, January, 1995)

The following describes categories of leave that may be available to lecturers, senior lecturers, and artists-in-residence who need to take a leave of absence for family or personal medical reasons. Temporary instructors may be needed when such a leave is necessary. When this is the case, department chairs and school deans are responsible for making the necessary appointment arrangements. (In the policies described below, the term "lecturer" refers to Lecturers, Senior Lecturers, and Artists-in-Residence.)

A. Maternity Leave

California's Pregnancy Disability Leave Law allows for leave of up to four months due to medically certified, pregnancy-related disability. During Maternity Leave, the lecturer remains on the regular Stanford payroll at full salary, but she is expected to apply for Short-Term Disability Insurance according to established procedures. (Specific instructions are available in the Benefits Office and should also be available in department and dean's offices.) The length of Maternity Leave is determined by the lecturer's physician, who certifies the number of weeks that she is disabled, both before and after delivery. All disability checks must be endorsed back to her department. Although the disability payments do not cover the full amount of the lecturer's salary, they partially reimburse the University account that supports it.

To be eligible for Maternity Leave, a lecturer must be benefits eligible - that is, she must have worked at Stanford for at least six months at 50% time or more for the period preceding the leave. Maternity Leave does not extend the term of the current appointment.

B. Family and Medical Leave

Stanford's policy on Family and Medical Leave for lecturers, senior lecturers, and artists-in-residence follows the guidelines of the California Family Rights Act of 1991 (amended in 1993) and the federal Family and Medical Leave Act of 1993. This legislation provides for up to 12 weeks of unpaid leave in any 12 month period for certain family and medical reasons. Family or Medical Leave may be taken for the following reasons:

- to care for the lecturer's spouse (including same-sex domestic partner), child, or parent who has a serious health condition;
- for a lecturer's serious health condition (In this case the lecturer may be eligible for short-term or long-term disability payments.)
- the birth of a child or the placement of a child with the lecturer for adoption or foster care.

A serious health condition is defined as any illness, injury, impairment, or physical or mental condition serious enough to involve hospitalization, in-patient care in a residential medical facility, or continuing treatment or supervision by a health care provider.

To be eligible for Family or Medical Leave, an individual must have been employed by Stanford (within the U. S.) for at least 12 months at 50% of full time or more. An individual is not eligible if he/she has used the maximum yearly leave provided by law.

When the need for family leave is foreseeable, requests for Family or Medical Leave should be made sufficiently in advance to allow the school or department to make replacement teaching and other arrangements.

During Family or Medical Leave, the University continues its contributions toward medical and dental group health plans. The lecturer continues to be responsible for paying his or her own premium. If additional leave is approved beyond the 12 weeks of Family or Medical Leave, the lecturer must pay the University's portion of the monthly premium in addition to his or her own premium to ensure continuous insurance coverage. However, Family and Medical Leave does not extend the term of the current appointment.

Chapter 8: Academic Staff-Teaching: Lecturers, Senior Lecturers, Artists-in-Residence: Core Policy Statements

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I. STATEMENT ON ACADEMIC FREEDOM

The Statement on Academic Freedom, as adopted by the Senate of the Academic Council April 18, 1974; approved by the Board of Trustees September 10, 1974 upon the understanding that, as stated by the President of the University in his written recommendation to the Board, "The University's processes of search and evaluation are designed to produce the best possible persons for membership on the faculty. The Statement on Academic Freedom would in no way change that goal or the practices used to reach it"; and amended by the Senate of the Academic Council on April 16, 1998 shall apply to members of the Academic Staff in a manner appropriate to their role and responsibilities (See [Chapter 4](#) of this handbook)

II. GRIEVANCE PROCEDURES FOR THE ACADEMIC STAFF AT STANFORD UNIVERSITY

I. Definitions and Coverage

A. Grievance. A grievance is a complaint in writing made to an administrative officer of the University concerning a decision, made by a person or group of persons acting in an official University capacity, that directly or adversely affects the grievant as an individual in his or her professional academic capacity. A grievance does not include dissatisfaction with a University policy of general application challenged on the ground that the policy is unfair or inadvisable.

B. Coverage. A grievance may be filed and the appeal procedure hereunder may be utilized by any member of the Academic Staff-Teaching or Academic Staff-Research (as defined in [Chapter 6](#) of the Stanford University Faculty Handbook and [Chapter 9](#) of The Research Policy Handbook).

II. Grievance Structure

A. The Grievance Structure consists of an Administrative Structure.

B. The Administrative Structure includes, in order and as applicable, the following administrative officers of the University: head of administrative unit; department chair; dean of school; Provost and President.

C. The President shall devise a set of standing rules of procedure which will govern proceedings for the filing and appeal of grievances in the Administrative Structure, provided that:

1. The set of standing rules of procedure, and any amendments thereof, shall be valid upon promulgation;
2. The rules shall provide that any communication or material solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that such communication or material may be revealed to any person(s) consulted by the administrative officer for guidance on that grievance.

III. Grievance Procedures

A. Filing of Grievance.

1. A grievance arising out of a decision at the administrative unit or department level shall be filed with the dean of the school.
2. A grievance arising out of a decision at the dean's level shall be filed with the Provost.
3. A grievance arising out of a decision at the Provost's level shall be filed with the President.
4. A grievance arising out of a decision at the President's level shall be filed with the President. The President shall make a determination on the grievance, and such determination shall be final. The decision of the President, with the reasons therefor, shall be given to the grievant in writing.

B. The grievant shall file his or her complaint in writing, setting forth a statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged. The written grievance shall also include the grievant's statement that he or she has made informal efforts to resolve the dispute at each administrative level (including, as applicable, with his or her principal investigator and with the department chair) below the level at which the grievance is filed, and shall describe those efforts in detail.

C. The administrative officer with whom the grievance is filed shall consider the grievance. The administrative officer may attempt to resolve the matter informally or make whatever disposition of the grievance he or she deems appropriate. The administrative officer may refer the grievance, or any issue therein, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs. The administrative officer may also, in appropriate cases, remand the grievance to a lower administrative level (including to the original decision maker) for further consideration. The administrative officer shall notify the grievant in writing of the disposition made of the grievance.

IV. Appeal Procedure

A. A grievant who is dissatisfied with the disposition of the grievance by the administrative officer with whom the grievance was filed may appeal the decision in order to each of the higher administrative officers within the Administrative Structure as follows:

1. For a grievance filed with and decided by the dean, a grievant may appeal the decision in writing to the Provost. The Provost will follow the procedure for appeals set forth in Sections IV(D) and (E) and V below.

2. For a grievance (or an appeal) filed with and decided by the Provost, a grievant may appeal the decision in writing to the President. The President will follow the procedure for appeals set forth in Sections IV(D) and (E) and V below.

3. No appeal shall be available for a grievance (or an appeal) filed with the President. (See Section III(A)(4) above.)

B. The determination by any administrative officer of any grievance appealed to him or her shall be appealable by the grievant to the next higher administrative officer within the Administrative Structure, except that the determination of the President shall be final.

C. An appeal shall be made in writing and shall contain the following information:

1. a statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged;

2. the names and positions of all administrative officers with whom the grievance has been filed or appealed and a copy of the determination made by each of those administrative officers.

D. Each administrative officer within the Administrative Structure who considers a grievance appealed to him or her shall make a determination on the matter and shall inform the grievant in writing of the determination.

E. The administrative officer may attempt to resolve the matter informally, or refer the appeal, or any issue thereof, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs. The administrative officer may also, in appropriate cases, remand the matter to a lower administrative level (including to the original decision maker) for further consideration.

F. In considering a grievance that arises out of a negative decision on appointment, reappointment, or promotion, an administrative officer may consult with the same body, if any, that makes recommendations on decisions involving appointment, reappointment, or promotion.

V. Standards for Review and Procedural Matters

A. The review of a grievance or of an appeal by the dean, the Provost or the President shall usually be limited to the following considerations:

1. Were the proper facts and criteria brought to bear on the decision? Were improper or extraneous facts or criteria brought to bear that substantially affected the decision to the detriment of the grievant?
2. Were there any procedural irregularities that substantially affected the outcome of the matter to the detriment of the grievant?
3. Given proper facts, criteria, and procedures, was the decision one which a person in the position of the decision maker might reasonably have made?

B. Standing rules of procedure for the handling of grievances under the Statement on Academic Staff Grievance Procedures, which include time limitations for the filing of grievances and appeals, as well as other procedural matters, are available in the Office of the Academic Secretary, the Office of the Provost and on-line in the Portfolio Collection. Note that a delay in filing a grievance may, taking all circumstances into account, constitute grounds for rejection of the grievance by the administrative officer with whom it is filed. Similarly, appeals should be filed without delay.

C. Questions concerning the filing and appeal of grievances should be directed to the Office of the Provost or to the Office of the Vice Provost for Research and Graduate Policy.

Standing Rules of Procedure for the handling of grievances under the Statement of Grievance Procedures for the Academic Staff at Stanford University, which include time limitations for the filing of grievances as well as other procedural matters, are available in the Faculty Affairs Group in the Provost's Office. (Note that an unreasonable delay in filing a grievance may constitute grounds for rejection of the grievance by the administrative officer with whom it is filed.)

Chapter 9: Other Teaching Titles: Acting, Visiting, Consulting, By Courtesy, and Voluntary Clinical Appointments

Last updated: August 1, 2001

(Check currency on-line at: <http://facultyhandbook.stanford.edu>)

The titles described in this chapter are used for the appointment of individuals to positions that are generally of a limited duration. Persons holding these titles are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service. There are significant variations in the circumstances under which individuals qualify for and secure appointments to these ranks. The length of term may vary from one quarter to one year and may be renewable; individuals may serve at full or part-time, with or without salary.

All individuals who teach a course for credit at Stanford University must have a professorial appointment or an Academic Staff-Teaching or Other Teaching appointment approved for the quarter or term in which the course is offered. This policy applies to other Stanford employees, such as administrators, who engage in teaching activities.

I. TITLES

A. Acting Appointments

1. Acting Instructor

Acting Instructor appointments are generally for one year and are often part-time; no more than three consecutive years of appointment at full time are normally permitted. Individuals appointed as Acting Instructors are usually advanced Stanford TGR students or Stanford graduate students well launched on their dissertations; occasionally graduate students from other institutions who are at similar stages in their programs are appointed Acting Instructors. Individuals at this rank are not yet ready for candidacy for Assistant Professor or Assistant Professor (Subject to Ph.D.) positions. Generally, there is no expectation of a Stanford professorial appointment following an Acting Instructor appointment. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service.

Persons holding this rank may have full charge and responsibility for a departmental course (e.g., one for undergraduate majors). They also may assist in planning and execution of graduate course or seminar.

2. Other Acting Titles

Acting Assistant Professor
Acting Associate Professor
Acting Professor

These acting appointments are generally for one year; no more than three consecutive years of appointment at full-time are normally permitted. Individuals holding these ranks are qualified for the rank of the appointment but hold neither academic positions to which they would be returning nor positions in business or industry which would continue during the Stanford appointment (though in the latter case an individual may be on leave from an industrial position for the duration of the Stanford appointment).

These acting titles are used when individuals are filling in and/or when departments are clarifying their program needs. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service. In some cases, especially at the assistant professor level, the acting appointment is a "holding" position for a period of time during which the department engages in a more careful search; the individual holding the acting appointment may be a principal candidate in the search. However, in general and especially at the associate and full professor levels, the expectation is that the title will be used for appointments of individuals who will have a short-term, non-career association with the University.

Individuals holding these acting titles may teach graduate seminars and participate in (but not direct) graduate research.

B. Visiting Appointments

Visiting Lecturer
Visiting Instructor
Visiting Assistant Professor
Visiting Associate Professor
Visiting Professor

Generally, visiting appointments are for one year, but they may be made from one to six years and are renewable. At all ranks, individuals must have leave from colleges or universities where they hold appointments which will not expire prior to expiration of the Stanford appointment. Individuals hold the visiting rank here that is the same (or the American equivalent) as their rank at their home institution. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service. Individuals holding visiting appointments may teach graduate seminars and participate in (but not direct) graduate research.

C. Consulting Appointments

Consulting Assistant Professor
Consulting Associate Professor
Consulting Professor

Consulting appointments are generally for one year and are renewable. Individuals holding these titles are qualified for the various ranks, but their primary professional involvement is in business, industry, or government (e.g. Geological Survey), and their primary involvement continues during the Stanford appointment. Occasionally, these ranks are used for individuals who are self-employed or retired.

Individuals holding consulting appointments may give a single course each quarter, or they may give a series of lectures within a course developed by a member of the faculty. They may teach graduate seminars and direct graduate research, though they may not be principal advisors on masters or doctoral theses. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service.

Honoraria are the characteristic payments, but occasionally salaries are paid.

D. (By courtesy) Appointments

Assistant Professor (By courtesy)
Associate Professor (By courtesy)
Professor (By courtesy)

A special use of the designation (By courtesy) applies to individuals who are not members of the Stanford faculty, but to whom the University wishes to extend a title that conveys a closer tie than Consulting Professor. (Courtesy appointments for individuals who are members of the Stanford professoriate are discussed in Chapter 2, Section 2, IV.B of this Handbook.) This use of the (By courtesy) title is limited to individuals from the following institutions: the Carnegie Institution of Plant Biology, the Hoover Institution, the National Bureau of Economic Research, and the Monterey Bay Aquarium Research Institute, and the Director of the Center for Advanced Study in the Behavioral Sciences. Individuals holding (By courtesy) professorial titles are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward acquisition of tenure by length of service. They may offer courses in the courtesy department or school when invited to do so. Their involvement in departmental or school activities will vary according to the policies of the particular unit. Individuals holding (By courtesy) professorial titles do not have departmental voting privileges. (By courtesy) professorial appointments are subject to periodic review according to a timetable worked out at school and departmental levels.

E. Voluntary Clinical Appointments

Clinical Instructor
Clinical Assistant Professor
Clinical Associate Professor
Clinical Professor

Voluntary clinical appointments are made in the School of Medicine only. They are made for varying terms as specified in the Medical Faculty Handbook. The rank of the appointment is determined by the Department in which the appointment is made on the basis of training, experience, scientific contributions, general reputation in the medical community, and specific service to the Department and the School of Medicine. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service.

F. Teaching Specialist

This title is used exclusively in the Department of Athletics, Physical Education and Recreation. Persons holding this title are not members of the Academic Council, the Medical Center Line, or the Academic Staff, nor do they accrue time toward tenure by length of service.

II. PROCEDURES FOR APPOINTMENTS AND REAPPOINTMENTS

A. Procedures

The form, "Recommendation for Teaching Appointment, Academic and Other Teaching Staff" should be used for all teaching appointments of individuals to these titles. The recommendation should note the circumstances which warrant the appointment. If the candidate is substituting for a faculty member on leave, the name and leave status of that faculty member must be included. If the candidate is recommended for an interim appointment while a search is ongoing to fill a faculty billet, the recommendation should note the position.

Further, the recommendation should provide information on the specific responsibilities of the candidate beyond teaching. All recommendations should briefly discuss available evidence of the candidate's teaching ability. Finally, the recommendation should explain how the candidate and his or her qualifications came to the notice of the department.

When an individual is proposed for reappointment, whether salaried or nonsalaried, the department or school must submit a new recommendation form rather than a memorandum of reappointment. If the reappointment is for more than one year, or if the candidate will have served for three years during which time no evaluation of teaching effectiveness has been presented, the recommendation should discuss evidence to date of the candidate's teaching. In most instances, however, the renewal recommendation may simply refer to the original appointment form and need merely update the record (e.g., visa status, current outside employment, future courses, etc.)

B. Notice of Non-renewal or Termination

In the case of those holding the titles described in this chapter, appointments are often made for fixed terms on a temporary basis with no expectation of renewal. Others are made with the possibility of renewal. In cases where the appointment is made with the explicit statement of the possibility of renewal, the notice provisions applicable to Senior Lecturers and Lecturers as described in Chapter 6, Article III of this handbook apply.

III. POLICIES

A. Family and Medical Leave (effective January, 1995)

1. Maternity Leave

California's Pregnancy Disability Leave Law allows for leave of up to four months due to medically certified, pregnancy-related disability. During Maternity Leave, the individual remains on the regular Stanford payroll at full salary, but she is expected to apply for Short-Term Disability Insurance according to established procedures. (Specific instructions are available in the Benefits Office and should also be available in department and dean's offices.) The length of Maternity Leave is determined by the individual's physician, who certifies the number of weeks that she is disabled, both before and after delivery. All disability checks must be endorsed back to her department. Although the disability payments do not cover the full amount of the individual's salary, they partially reimburse the University account that supports it.

To be eligible for Maternity Leave, an individual must be benefits eligible - that is, she must have worked at Stanford for at least six months at 50% time or more for the period preceding the leave. Maternity Leave does not extend the term of the current appointment.

2. Family and Medical Leave

Stanford's policy on Family and Medical Leave for those holding other teaching titles follows the guidelines of the California Family Rights Act of 1991 (amended in 1993) and the federal Family and Medical Leave Act of 1993. This legislation provides for up to 12 weeks of unpaid leave in any 12 month period for certain family and medical reasons. Family or Medical Leave may be taken for the following reasons:

- to care for the individual's spouse (including same-sex domestic partner), child, or parent who has a serious health condition;
- for an individual's serious health condition. (In this case the individual may be eligible for short-term or long-term disability payments.)
- the birth of a child or the placement of a child with the individual for adoption or foster care.

A serious health condition is defined as any illness, injury, impairment, or physical or mental condition serious enough to involve hospitalization, in-patient care in a residential medical facility, or continuing treatment or supervision by a health care provider.

To be eligible for Family or Medical Leave, an individual must have been employed by Stanford (within the U. S.) for at least 12 months at 50% of full time or more. An individual is not eligible if he/she has used the maximum yearly leave provided by law.

When the need for family leave is foreseeable, requests for Family or Medical Leave should be made sufficiently in advance to allow the school or department to make replacement teaching and other arrangements.

During Family or Medical Leave, the University continues its contributions toward medical and dental group health plans. The individual continues to be responsible for paying his or her own premium. If additional leave is approved beyond the 12 weeks of Family or Medical Leave, the individual must pay the University's portion of the monthly premium in addition to his or her own premium to ensure continuous insurance coverage. However, Family and Medical Leave does not extend the term of the current appointment.

**STANFORD UNIVERSITY
FACULTY APPLICATION FOR LEAVE OF ABSENCE**

Name:

Date:

Title:

Department(s):

School(s):

Requested Leave: *Please give exact dates*

Sabbatical

Start date:

Stop date:

Eligibility: quarters/months/semesters accrued since last sabbatical or initial appointment

Rate of pay during leave:

Leave without salary

Start date:

Stop date:

Rate of pay during leave:

Other (*see definitions below for other types of leave*):

Start date:

Stop date:

Rate of pay during leave:

Please describe fully the purpose and planned activity for the leave period. (Should substantial changes in these plans occur, it must be approved by the Department and School.)

Please list courses you have been or will be instructing during the year preceding the requested leave and show arrangements that have been made for them in your absence.

Course/Number/Quarter

Substitution arrangements

Please list current dissertation students by name for whom you are principal advisor and show arrangements that have been made for their supervision in your absence.

Name

Supervision arrangements

Please describe arrangements that have been made for continuation of your graduate and undergraduate advising responsibilities.

Please list clinical responsibilities that you have had in the last year and show what arrangements have been made for them in your absence.

Please describe arrangements that have been made for continuation of any administrative duties for which you are responsible.

If you are the Project Director or Principal Investigator on any externally sponsored project, please describe the arrangements you have made and the agency prior approvals you have received, as required by the grant or contract terms and conditions, for your absence from the project and/or reduced level of effort during this requested leave. (See policy in Research Policy Handbook Chapter 3.1)

For sabbatical requests only, if you expect to receive compensation to supplement your sabbatical salary, please list anticipated purposes, sources and amounts of support other than Stanford sabbatical salary or consulting fees obtained in accordance with Stanford's consulting policy. Total compensation should not exceed your full-time Stanford base salary for the leave period. (Should substantial changes in these plans occur, they must be approved by the Department and School.)

Purpose

Source

Estimated amount

Signature

Date

Department Chair

Date

Dean

Date

Other types of leave:

Disability leave: defined in *The Faculty Handbook*, Chapter 3.I.E. Also includes maternity leave.

Fourth Quarter leave: any compensatory leave which may be made available by a school when fourth quarter teaching duty is required by programmatic need and when such duty is not compensated under the supplementary compensation policy (see *The Faculty Handbook*, Chapter 5.I.B.2).

Intramural buyback: any leave from teaching and other institutional responsibilities during which the faculty member receives full or partial salary from a Stanford department, school, specified policy center or institute, or other affiliate.

Period of pure research: defined in *The Faculty Handbook*, Chapter 3.I.D.

Teaching relief: defined in the *The Faculty Handbook*, Chapter 3.II.B and E. Also includes any teaching relief which may be made available by a school (e.g., Law School teaching relief leave).

With salary leave: any leave with salary which has been approved by the department chair and the dean.

Questions concerning sabbaticals and leaves should be directed to the faculty affairs staff officer in your school dean's office.

STANFORD UNIVERSITY
SENIOR LECTURERS: APPLICATION FOR LEAVE OF ABSENCE

Name: _____ **Date:** _____

Department or Program: _____

School: _____

Requested Leave: *Please give exact dates*

Professional Development Leave

Start date: _____ Stop date: _____

Eligibility: _____ quarters/months/semesters accrued since last professional development leave or initial appointment

Rate of pay during leave: _____

Remaining quarters/months/semesters of eligible service after proposed leave: _____

Leave without salary or with partial salary

Start date: _____ Stop date: _____

Rate of pay during leave: _____

Other Leave

Start date: _____ Stop date: _____

Rate of pay during leave: _____

Please describe the purpose and planned activity for the leave period. (Should substantial changes in these plans occur, they must be approved by the Department or Program and School.)

APPENDIX B

APPOINTMENT FORMS FOR THE ACADEMIC COUNCIL AND MEDICAL CENTER PROFESSORIATES

PUBLISHED: JANUARY 9, 2006

(Check currency on-line at <http://facultyhandbook/>)

This Appendix provides the forms to use for recommendations of appointments, reappointments, and promotions in the Academic Council and in the Medical Center Professoriate. These forms are to be used after January 9, 2006. This Appendix also provides University guidelines for the processes associated with appointments, reappointments, and promotions. Note that various schools may have school-specific policies and practices that must be followed, and those carrying out search and review processes are urged to consult their dean's office for the pertinent information. Users of these forms should also review Chapter 2 of this handbook for University policies and practices relevant to faculty appointments, reappointments, and promotions.

The following outline shows the forms and types of recommendations to be used with each.

B1 Stanford Professoriate: New Untenured Appointment for a Term of Years

Use this form for new appointment to the rank of:

- Assistant Professor (Subj. to Ph.D.)
- Assistant Professor
- Associate Professor, without tenure
- Professor, without tenure
- Assistant Professor (Research)
- Associate Professor (Research)
- Associate Professor (Teaching)
- Professor (Research)
- Professor (Teaching)
- Senior Fellow in a policy center or institute (candidate not currently Stanford faculty)
- Assistant Professor (MCL)
- Associate Professor (MCL)
- Professor (MCL)

B2 Stanford Professoriate: Reappointment or Promotion for a Term of Years

Use this form for reappointment to the rank of:

- Assistant Professor
- Associate Professor, without tenure
- Professor, without tenure
- Assistant Professor (Research)
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (Teaching)
- Senior Fellow in a specified policy center or institute
- Assistant Professor (MCL)
- Associate Professor (MCL)

And for promotion to the rank of:

- Associate Professor, without tenure
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (MCL)

B3 Stanford Professoriate: Reappointment or Promotion Initially Conferring Tenure or a Continuing Term of Appointment

Use this form for reappointment to the rank of:

Associate Professor, with tenure

Professor, with tenure

Associate Professor (Research) for a continuing term of appointment

Associate Professor (Teaching) for a continuing term of appointment

Professor (Research) for a continuing term of appointment

Professor (Teaching) for a continuing term of appointment

Senior Fellow in a policy center or institute, for a continuing term of appointment

Professor (MCL) for a continuing term of appointment

And promotion to the rank of:

Associate Professor, with tenure

Professor, with tenure

Associate Professor (Research) for a continuing term of appointment

Associate Professor (Teaching) for a continuing term of appointment

Professor (Research) for a continuing term of appointment

Professor (Teaching) for a continuing term of appointment

B4 Stanford Professoriate: Promotion for Individuals Previously Conferred with Tenure or Currently in an Appointment for a Continuing Term

Use this form for promotion from:

Tenured Associate Professor to tenured Professor

Associate Professor (Research) with a continuing term of appointment to Professor (Research) with a continuing term of appointment

Associate Professor (Teaching) with a continuing term of appointment to Professor (Teaching) with a continuing term of appointment

B5 Stanford Professoriate: New Appointment Conferring Tenure or a Continuing Term of Appointment

Use this form for the new appointment to the rank of:

Associate Professor, with tenure

Professor, with tenure

Senior fellow in a policy center or institute, for a continuing term of appointment (when candidate is NOT currently a member of the Stanford faculty)

B1 Stanford Professoriate: New Untenured Appointment for a Term of Years

This form must be submitted for recommendations for the following types of new term appointments:

- Assistant Professor (Subj. to Ph.D.)
- Assistant Professor
- Associate Professor, without tenure
- Professor, without tenure
- Assistant Professor (Research)
- Associate Professor (Research)
- Associate Professor (Teaching)
- Professor (Research)
- Professor (Teaching)
- Senior Fellow in a policy center or institute (candidate not currently Stanford faculty)
- Assistant Professor (MCL)
- Associate Professor (MCL)
- Professor (MCL)

Various schools may have school specific policies and practices that must be followed. Those carrying out faculty searches are urged to consult their dean's office for the pertinent information. Users of this form should also review Chapter 2 of the Faculty Handbook for University policies and practices relevant to faculty appointments.

The blue text in the form provides instructions and information relevant to preparing the papers and should be omitted from the final papers. The black text should be retained in the final papers. This form contains the following sections:

- Form Face Page
- Section 1: Billet Information
- Section 2: Search & Evaluation Process
- Section 3: Biographical and Bibliographic Information
- Section 4: Description of the Candidate's Role
- Section 5: Referee Letters
- Section 6: Student Letters
- Section 7: Teaching & Clinical Evaluations
- Section 8: Evaluation of the Candidate
- Section 9: Department or School Approval

B1 Stanford Professoriate: New Untenured Appointment for a Term of Years

TO THE ADVISORY BOARD AND THE PRESIDENT:

(last name) _____ (first name) _____ (middle name) _____

is hereby recommended for appointment to the rank of:

For a term of years, beginning on _____ and ending on _____

Fill out as applicable: (for part time or joint appointment, indicate percent time employment)

Primary department/school/policy institute _____ at _____ % time

Secondary department/school/policy institute _____ at _____ % time

Medical Center affiliation (for MCL) _____

Courtesy department/school _____

For an appointment coterminous with support or with an administrative assignment at Stanford or an affiliated institution, note the coterminous nature of the appointment:

___ Coterminous with continued salary and other research funding from sponsored projects

___ Coterminous with continued salary and other support from _____

___ Coterminous with _____

Recommended by (as applicable):

(Chair of primary department) (date)

(Dean of primary school) (date)

(Chair of secondary department/Director) (date)

(Dean of secondary school/institute) (date)

Approved for recommendation to the Advisory Board (Academic Council) or to the President (MCL):

(Provost) (date)

Approved for recommendation to the President by the Advisory Board (Academic Council):

(Advisory Board Chair) (date)

1. Billet Information

Provide:

A. Primary Department: _____

Billet/Position Numbers: _____ FTE: _____

Secondary Department: _____

Billet/Position Numbers: _____ FTE: _____

B. Correspondence regarding billet and search authorization for the position for which the candidate is recommended.

C. If the School intends to seek support through the Faculty Incentive Fund, please include a separate letter to the Provost.

2. Search and Evaluation Process

Provide (in one or more attached sheets):

- A. A list of the members of the search committee. If there was a separate evaluation committee, list the members of that as well. Disclose any collaborative and/or mentoring relationship a committee member may have with the candidate.
- B. A description of the process that led to this recommendation.
- C. A description of the affirmative action aspects of the search. Include a list of all outside sources contacted, along with samples of letters sent to such sources requesting information and/or nominations of possible candidates. Include the responses received.
- D. The completed Applicant Pool Information Form indicating the total number of applicants for the position, including their gender and ethnic background, if known. If these numbers cannot be precisely determined, explain. Please compare the composition of the candidate pool with the availability pool data for the discipline (this information is available from your dean's office).
- E. A list, in order of priority, of the finalists for this position and an explanation as to why each of those, other than the appointee, was not selected for appointment. Include a discussion of the results of the affirmative action efforts described above. *(Please evaluate the proposed appointee in the "Evaluation of the Candidate" section below).*

Searches and Search Waivers

Stanford's appointment procedures are designed so that each prospective member of the faculty will be suitable for appointment to Stanford and shall be the best available person at his or her level of professional development for the proposed appointment in a broadly defined field.

1) Search

When a department or school receives authorization to appoint a new faculty member, the department chair or dean should appoint an evaluation or search committee to carry out the evaluation or search in a broadly defined field.

A rigorous and comprehensive search is required for new appointments to the Stanford professoriate. The search committee should advertise publicly all vacancies in addition to using other appropriate methods of candidate solicitation. Letters describing the position should be sent to institutions of higher education and other institutions that are likely to provide a suitable candidate.

All searches should actively engage in affirmative action in the search process; professional colleagues should be contacted to solicit names of female and minority candidates (as well as others who would bring diversity to the professoriate) and such candidates should be encouraged to apply. Contacts should be made with resources such as female and minority professional organizations and journals so that such groups are alerted to the search.

Advertisements and letters announcing vacancies must include a statement such as:

“Stanford University is an equal opportunity employer and is committed to increasing the diversity of its faculty. It welcomes nominations of and applications from women and members of minority groups, as well as others who would bring additional dimensions to the University’s research, teaching and clinical missions.”

The Office of the Provost makes available to each dean’s office availability pool data in various disciplines. Search committees are encouraged to obtain this information and seek the assistance of the Faculty Recruitment Office (<http://facultydevelopment.stanford.edu/FRO.html>).

NOTE: Departments must retain complete records of each search, including vitae of applicants, for at least three years.

2) Transitions between faculty lines

Recommendations resulting in transitions between faculty lines are considered new appointments and occur infrequently. If a full search was not conducted, a search waiver is required. The appointment file should contain information that distinguishes the faculty member’s current and future roles and responsibilities; in particular, it should explain the necessity for the proposed appointment. Assertions that the candidate deserves the recommended appointment for meritorious service or time in rank are not sufficient justifications.

Persons who hold or have held acting or visiting titles at Stanford or who have been at the University in other capacities occasionally become candidates for regular professorial appointments. The search committee is obliged to assemble evidence concerning candidates having prior association with the University in the same manner as for external candidates; this obligation should be made clear to candidates who hold or have held Stanford appointments.

3) Search waivers

On occasion, the Provost may approve a search waiver for a professorial position when an exceptionally talented person (usually an eminent scholar who is clearly a leader in his or her field) is unexpectedly available. The existence of such a target of opportunity may become known in the course of a regular search, through communication via professional channels, or even by the individual making it known that he or she is available.

Other potentially appropriate uses of a search waiver for a professorial position may include: for a scholar who would bring diversity to the school or department; for a transition between faculty lines where there is evidence that the individual’s activities and stature have evolved; or for a spousal appointment. Search waivers for junior faculty appointments are granted only in extraordinary circumstances. There may be rare programmatic reasons that warrant a search waiver; inquiries should be addressed to the Provost’s Office.

A request to waive the search requirement for a professorial appointment must present to the Provost convincing evidence that the candidate would have emerged as the leading candidate, if there had been a search in the candidate’s field. To the extent possible, the request should be substantiated by comparative evaluations (from external and/or internal referees) and evidence of the candidate’s significant accomplishments.

In addition, a rigorous review of the candidate’s qualifications is expected in the subsequent preparation of the appointment recommendation.

3. Biographical and Bibliographic Information

Provide for the Provost's Office the following confidential information (on a separate sheet):

- Date of birth; place of birth
- Social Security Number
- Ethnicity (if known)
- Citizenship status (If foreign, give visa or immigration status)
- Proof of California Medical Licensure (if applicable)

Provide the following information in a dated curriculum vitae:

A. Academic history:

- Colleges and universities attended, degrees received, dates. For beginning Assistant Professor appointments, include a transcript of the work that led to the highest degree.
- Scholarships and honors
- Post-doctoral and residency training
- Other study and research opportunities
- Medical Board eligibility (if applicable)

B. Employment history. List all academic and non-academic positions. List any Stanford faculty appointments using a dd/mm/yyyy format.

C. Public and professional service.

D. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc.

E. A complete list of scholarly publications or other creative works. Distinguish between peer-reviewed and non-peer-reviewed publications. Group original works (e.g., books, articles, performances, exhibitions) separately from other materials (e.g. commentaries, reviews, editorials). Include page numbers. If pertinent, list other writings such as abstracts, technical reports, etc.

4. Description of the Candidate's Role

Provide the following (on one or more attached sheets):

A. Scholarly work:

Describe (in no more than 2 pages) the candidate's scholarly work, with particular reference to its significance and importance for the field, in terms that are understandable to a Stanford faculty member outside the candidate's field. If appropriate, comment on contemporary schools of thought in the field, its recent history, or other such contextual factors that might illuminate the candidate's contribution. For example, describe the authorship practices of the candidate's particular discipline, the contribution of the candidate to multi-authored publications listed in his or her CV, and the candidate's contribution to the work as compared to the other authors, particularly former mentors. Include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation or search committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

Provide, for candidates who have just completed their graduate training and for whom the dissertation is the only significant completed scholarship, a statement from at least one member of the search committee who has read the candidate's dissertation that describes it and states why it is significant.

If the recommendation is for the appointment of an Assistant Professor (Subject to Ph.D.), describe the progress and prospective quality of the dissertation, and the anticipated date of completion.

B. Other academic activities:

Describe, if applicable, the candidate's planned academic activities other than scholarship and teaching, and how they align with the programmatic needs of the department, school and University. For example:

1. Creative works (including dramatic productions, musical performance, studio art, etc.):

Describe (in terms that are understandable to a Stanford faculty member outside the candidate's field) any significant creative works produced by the candidate, with particular reference to their importance in the field. If appropriate, comment on contemporary schools of thought or practice in the field, the field's recent history, or other such contextual factors that might illuminate the candidate's contribution, and include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

2. Clinical activities:

Describe, if applicable, the candidate's planned clinical activities and how they align with the mission of the applicable school (e.g., the School of Law, the School

of Medicine and the applicable medical center). *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

C. Teaching and advising:

Describe, for all ranks as applicable, the teaching and advising role of the candidate (all members of the Academic Council are expected to teach in some capacity). Describe the candidate's prior teaching experience and performance, including any pedagogical innovations or course development activities in which the candidate has participated. Optional: Include a list of current and former masters, Ph.D. and postdoctoral trainees and their current positions. *(Please save your evaluation of the candidate's teaching for the "Evaluation of the Candidate" section below)*

D. Candidate's statement:

Optional: Include a statement by the candidate about his or her current scholarly, teaching and other academic activities and plans (clearly legible and not to exceed 5 pages).

Instructions for Submitting Evidence (Sections 5, 6, and 7)

Set forth below are the guidelines relating to the evidentiary sections of the form (Section 5 – Referee Letters; Section 6 – Student Letters; and Section 7 – Teaching and Clinical Evaluations). The guidelines are organized by rank and line as follows:

Appointment to the rank of:

- Assistant Professor (all lines)
- Tenure Line Associate Professor and Professor (without Tenure)
- Non Tenure Line Associate Professor (Research) or Professor (Research)
- Non Tenure Line Associate Professor (Teaching) or Professor (Teaching)
- Senior Fellow in a specified policy center or institute
- MCL Associate Professor and Professor

Printouts of electronic mail communications are acceptable for inclusion in the evidentiary sections; however, departments are encouraged to exercise care in safeguarding the confidentiality of such communications. In general, departments and schools should consider the balance between the potentially low level of security of electronic mail and the convenience of a rapid response.

| Appointment of Assistant Professor (all lines) | |
|---|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 3 letters. • Additional letters beyond those received as part of application process (even if those were solicited by the candidate) are unnecessary, unless to comply with school guidelines. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Comparative evaluations to peers are not required. |
| TEACHING | <ul style="list-style-type: none"> • No separate referee or student/trainee letters are required. • According to school practice, available teaching assessments relevant to prior pedagogical experience may be solicited simultaneously with scholarship assessments. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • No separate referee or student/trainee letters required. • Following usual school practice, available assessments of clinical and/or other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

| Appointment of Tenure Line Associate Professor or Professor (Without Tenure) | |
|---|---|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 6 letters |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • The evaluations must include a comparison of the candidate to 4-6 scholars currently at the rank of the proposed appointment or higher • All or most of the individuals in the comparison set should be scholars who would likely receive tenure at Stanford. |
| TEACHING | Evidence in the form of letters from students, results of peer reviews of teaching, course evaluations or evaluation summaries, transcribed comments from individual course evaluation forms, etc., may be submitted following usual school practice and in accordance with the requirements below. |

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| | <ul style="list-style-type: none"> • No separate letters are required from referees • Undergraduate student letters: If appropriate to the candidate's role, solicit 6-12. • Graduate student letters: If the candidate is expected to direct graduate study, include names and graduation dates of all doctoral graduates for whom the candidate was principal advisor and, if practicable, evaluations from those individuals. In addition, if applicable, provide evaluations from current doctoral students/postdoctoral fellows directly supervised by the candidate. • Student evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee. • If student letters are used to evaluate teaching effectiveness, the department or school should take steps to ensure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, all of the students should be solicited for letters.) • The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. • Copies of all available standardized course evaluations or summaries of those evaluations are required. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • No separate referee or student/trainee letters are required • Evidence should be obtained following usual school practice; available assessments of clinical and/or other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

| Appointment of Non Tenure Line Associate Professor (Research) or Professor (Research) | |
|--|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 6 Letters |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • The evaluations must include a comparison of the candidate to 4-6 scholars currently at the rank of the proposed appointment or higher. • All or most of the individuals in the comparison set should be scholars who would likely be appointable at Stanford. |
| TEACHING | <ul style="list-style-type: none"> • No separate referee or student/trainee letters are required. • Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • Not Applicable |

| Appointment of Non-Tenure Line Associate Professor (Teaching) or Professor (Teaching) | |
|--|---|
| SCHOLARSHIP | <ul style="list-style-type: none"> • In cases where the candidate is an active scholarly contributor, 3 of the 6 required letters (see Teaching below) should assess the candidate's scholarly contributions. • Letters assessing scholarship may be from external and/or internal referees. |
| TEACHING | <ul style="list-style-type: none"> • 6 letters from external and/or internal referees; letters are expected to assess the candidate's pedagogical contributions (see Scholarship above for |

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| | <p>additional expectations).</p> <ul style="list-style-type: none"> • Undergraduate student letters: If appropriate to the candidate's role, solicit 6-12. • Graduate student letters: If the candidate is expected to direct graduate study, include names and graduation dates of all doctoral graduates for whom the candidate was principal advisor and, if practicable, evaluations from those individuals. In addition, if applicable, provide evaluations from current doctoral students and postdoctoral fellows directly supervised by the candidate. • Student evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee. • If student letters are used to evaluate teaching effectiveness, the department or school should take steps to ensure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, all of the students should be solicited for letters.) • The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Comparative evaluations to peers are not required. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • No separate referee or student/trainee letters are required. • Following usual school practice, available assessments of other activities relevant to the candidate's intended role may be solicited simultaneously with teaching and scholarship assessments. |

| Appointment of MCL Assistant Professor, Associate Professor or Professor | |
|---|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • A minimum of 5 letters should be submitted; letters must assess the candidate's scholarly contributions. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Comparative evaluations to peers are not required. |
| TEACHING | <p>Evidence in the form of letters from students, results of peer reviews of teaching, course evaluations or evaluation summaries, transcribed comments from individual course evaluation forms, etc., may be submitted following usual school practice and in accordance with the requirements below.</p> <ul style="list-style-type: none"> • No separate referee letters are required. • If trainee letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. • The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. • If applicable, and following usual school practice, copies of all available standardized course evaluations or summaries of those evaluations should be included. |

| Appointment of Senior Fellow | |
|-------------------------------------|---|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 6 Letters • All or most of the individuals in the comparison set should be scholars who would likely receive tenure at Stanford. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • The evaluations must include a comparison of the candidate to 4-6 scholars currently at a rank comparable to the proposed appointment or higher. |
| TEACHING | <ul style="list-style-type: none"> • No separate referee or student letters are required. • Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • Following usual school practice, available assessments of other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

5. Referee Letters

Provide the following (in one or more attached sheets):

- A. A list of referees (determined through consultation between the department chair, if applicable, and dean) who were asked for evaluations, and a brief comment on the stature and competence of each to judge the candidate's work. Disclose any professional relationship of the referees with the candidate. Clearly note responses received, declines, and non-responses. *NOTE: Evaluations from internal referees may be submitted according to school practice.*
- B. A sample of the solicitation letter sent to referees and any follow-up correspondence. The solicitation letter should provide referees with a description of the candidate's role and the evaluative criteria so that referees may provide an informed and meaningful assessment. (See the preceding chart for guidelines concerning referee letters that apply to particular actions.) When no response is received to a solicitation, there should be a minimum of two follow-up requests. *NOTE: Refrain from having a mentor or co-investigator solicit referee evaluations.*
- C. A list of the scholars in the comparison set (if applicable). Include each named peer's highest degree, the year conferred and the academic institution from which he or she received it, his or her current title and institution, and a very brief description of his or her area of expertise.
- D. All external referee letters, declinations and any other correspondence with referees.
- E. All internal referee letters, declinations and any other correspondence with referees.

(Please save your discussion of the referee letters for the "Evaluation of the Candidate" section below.)

6. Student Letters

Provide (in one or more attached sheets):

- A. A list of trainees solicited for letters, with a description of the process used to determine which trainees to contact. Indicate which are current and which are former trainees.
- B. A sample of the solicitation letter sent to trainees. When no response is received to a solicitation, there should be a minimum of two follow-up requests.
- C. All student/trainee letters, declinations and any other correspondence with students/trainees.

(Please save your discussion of these letters for the "Evaluation of the Candidate" section below.)

7. Teaching and Clinical Evaluations

Provide the following (in one or more attached sheets):

- A. Copies of all available standardized course evaluation summaries. Do not include large volumes of individual evaluations; if comments are included in such evaluations, provide a representative sample.
- B. If applicable, copies of all available forms or other instruments used to document clinical skills, with summaries of responses.

(Please save your discussion of these evaluations for the "Evaluation of the Candidate" section below.)

8. Evaluation of the Candidate

Provide the following (in one or more attached sheets):

- A. A description of how the recommended candidate was chosen from the pool of candidates assembled in the search. Include the search/evaluation committee's assessment of the candidate, if there is one.
- B. An evaluation of the quality and promise of the candidate's performance to date in the areas of scholarship, teaching, clinical work (if applicable), and/or other pertinent aspects of his or her performance. Justify the appointment in light of the qualifications of the recommended candidate in relation to the entire pool of available candidates.

Deans and department chairs are reminded that consideration of appointment cases should include an account of the future of the department/division and/or school, which may include consideration of programmatic need.

Criteria for candidates in the Tenure Line:

The University recognizes that there are significant variations in how candidates qualify for and secure appointment, according to field and discipline. Scholars come from different backgrounds and receive different educational training. Nevertheless, all appointments have in common the requirement of excellence, however measured.

Excellence in both scholarship and teaching is an important prerequisite for a tenure line appointment at Stanford because the University is dedicated to outstanding achievement in both. The purpose of the appointment evaluation is to appraise, on the basis of the record to date, the candidate's standing and potential in his or her scholarly discipline (broadly defined) and the candidate's quality and potential as a teacher. Decisions on initial appointment are subject to the exercise of scholarly and professional judgment and discretion by the University's departmental faculty and academic leadership.

1. **Scholarship:** The first criterion for an appointment at Stanford is that the individual be the best scholar available for the proposed appointment at his or her level of professional development in the relevant field.

Factors considered in assessing research performance or promise include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; and recognition in the field; ability to work effectively as part of a research team (if relevant); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.

2. **Teaching:** The second criterion for an appointment is promise -- or a record demonstrating -- that the candidate is capable of sustaining a first-rate teaching program during his or her career at Stanford. Teaching is broadly defined to include: the classroom, studio, laboratory, or clinical setting; advising; mentoring; program building; and curricular innovation. Teaching may include undergraduate, graduate, and (if appropriate) postdoctoral instruction, of all types.

Factors considered in assessing teaching performance or promise include (but are not limited to) the following: knowledge of the material; clarity of exposition; style of interaction with students;

availability; professionalism, institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to stimulate further education.

3. **Clinical work:** Excellence in clinical practice or clinical care is a requirement for those candidates (such as in the School of Law or in the School of Medicine) whose duties include such practice. Factors considered in assessing clinical performance include (but are not limited to) the following: clinical knowledge; clinical judgment; procedural skills (if relevant); clinical productivity; clinical outcomes or results; professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the clinical team; and effective communication with colleagues, staff, students, and patients or clients.
4. **Other activities:** In judging candidates for appointments whose work involves creative writing, dramatic or musical composition or performance, works of art, and the equivalent, appropriate criteria are to be defined and applied. In general, the judgment of teaching quality for these faculty should follow procedures applicable to all faculty.
5. **Service:** Candidates for appointment in the tenure line are primarily assessed on the basis of their achievements in the areas of scholarship and teaching, as noted above. Service (including what might be called institutional citizenship), although relevant, is not a primary criterion.
6. **Uniqueness of function:** Uniqueness of function is not, in and of itself, a criterion for an appointment. The fact that a candidate is the only available individual teaching in a specific area or doing scholarship on a certain subject is not relevant to the process of judging the quality of teaching and scholarship and is not determinative in the decision to appoint the candidate. Furthermore, a department's faculty and/or the dean (and, similarly, the Provost, Advisory Board and/or President) may on occasion decide that a candidate does not warrant an appointment even though that person may be the best available within a field. That is, the reviewing group or individual may decide that the best available candidate in a weak or overly narrow professional field should not be appointed to a position at Stanford.

Deans and department chairs must try to avoid such situations by ensuring that initial searches and appointments are made in areas in which the quality of scholarship is relatively strong, and in which the subject area is sufficiently broad. If teaching needs exist in potentially weak areas, then non-faculty appointments should be considered until that field improves or a strong candidate in it emerges.

7. **Career trajectory:** For an initial appointment as an untenured Associate Professor or Professor, the department or school is expected to follow especially rigorous screening and evaluation procedures; a comparative evaluation of the principal candidate for appointment is expected to reveal the candidate's strengths and weaknesses relative to others of recognized excellence in the same field and at or above the candidate's level of professional development. For an appointment at the level of untenured Associate Professor, it is expected that the candidate's qualifications will be more advanced than those for an Assistant Professor and that he or she will be on a trajectory consistent with Stanford standards and the standards of his or her discipline; there must exist a realistic chance for reappointment or promotion with tenure in the future on the basis of a continuation of the candidate's work. Similar considerations should hold true, in turn, for the appointment of an untenured Professor.

Additional information for particular ranks and lines:

8. Candidates for appointment as **Assistant Professor (Research), Associate Professor (Research)** or **Professor (Research)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as for comparable tenure line appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Outside evaluations must accompany the recommendation; exceptions to this requirement must have advance approval of the Provost. Deans and department chairs should be aware that individuals appointed to these ranks would normally hold terms “coterminous with continued salary and other research funding from sponsored projects.”
9. Candidates for appointment as **Associate Professor (Teaching) or Professor (Teaching)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed principally on the basis of their teaching in the same fashion as comparable tenure line appointments but are evaluated (in general) by higher standards with respect to teaching. In cases where evaluation by external referees may not be appropriate, a thorough evaluation of the candidate’s teaching and pedagogical contributions is particularly crucial. Even though the candidate may be a scholarly contributor, he or she is not evaluated by the same standards with respect to scholarship. As to scholarship (where applicable), it would be expected that the candidate is regarded as a strong scholarly contributor, though not necessarily a leader in the field.
10. Candidates for appointment as **Senior Fellow** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as tenure line Professor appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Appointments to this rank are contingent on continued programmatic need and program funding. (For Senior Fellow appointments of faculty with pre-existing primary appointments in academic departments, follow the procedure described in the Faculty Handbook, Chapter 2.
11. For criteria for appointment as **Assistant Professor, Associate Professor, and Professor in the MCL**, see the School of Medicine Faculty Handbook, Chapter 2, Sections 2.25 through 2.29 (<http://med.stanford.edu/academicaffairs/handbook/chap2.html>).

9. Department or School Approval

Provide the following (in one or more attached sheets):

- A. Discuss any reservations that may have been expressed concerning the candidate and how they have been resolved.
- B. Describe the departmental voting practice.
- C. Was this voting practice employed for this recommendation?
- D. Did all members of the group(s) have an opportunity to vote on this recommendation?
- E. Summarize the vote. If the vote was not unanimous, please explain.

B2 Stanford Professoriate: Reappointment or Promotion for a Term of Years

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| <p>BLACK TEXT – SHOULD APPEAR IN FINAL PAPERS BLUE TEXT – INFORMATION FOR PREPARING PAPERS; DO NOT INCLUDE IN FINAL</p> |
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This form must be submitted for recommendations for the reappointment for a term of years of:

- Assistant Professor
- Associate Professor, without tenure
- Professor, without tenure
- Assistant Professor (Research)
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (Teaching)
- Senior Fellow in a specified policy center or institute
- Assistant Professor (MCL)
- Associate Professor (MCL)

And for promotion to the rank of:

- Associate Professor, without tenure
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (MCL)

Various schools may have school specific policies and practices that must be followed. Users of this form should also review Chapter 2 of the Faculty Handbook for University policies and practices relevant to faculty appointments.

The blue text in the form provides instructions and information relevant to preparing the papers and should be omitted from the final papers. The black text should be retained in the final papers. This form contains the following sections:

- Form Face Page
- Section 1: Evaluation Process
- Section 2: Biographical and Bibliographic Information
- Section 3: Description of the Candidate's Role
- Section 4: Referee Letters
- Section 5: Student Letters
- Section 6: Teaching & Clinical Evaluations
- Section 7: Evaluation of the Candidate
- Section 8: Counseling
- Section 9: Department or School Approval

B2 Stanford Professoriate: Reappointment or Promotion for a Term of Years

TO THE ADVISORY BOARD AND THE PRESIDENT:

_____ (last name) _____ (first name) _____ (middle name)

is hereby recommended for reappointment/promotion to the rank of:

For a term of years, beginning on _____ and ending on _____

Fill out as applicable: (for part time or joint appointment, indicate percent time employment)

Primary department/school/policy institute _____ at _____ % time

Secondary department/school/policy institute _____ at _____ % time

Medical Center affiliation (for MCL) _____ at _____ % time

Courtesy department/school _____ at _____ % time

For a reappointment coterminous with support or with an administrative assignment at Stanford or an affiliated institution, note the coterminous nature of the appointment:

___ Coterminous with continued salary and other research funding from sponsored projects

___ Coterminous with continued salary and other support from _____

___ Coterminous with _____

Recommended by (as applicable):

(Chair of primary department) (date)

(Dean of primary school) (date)

(Chair of secondary department/Director) (date)

(Dean of secondary school/institute) (date)

Approved for recommendation to the Advisory Board (Academic Council) or to the President (MCL):

(Provost) (date)

Approved for recommendation to the President by the Advisory Board (Academic Council):

(Advisory Board Chair) (date)

1. Evaluation Process

The department chair or dean should appoint an evaluation committee to carry out the evaluation. The evaluation committee should be chaired by someone who has no mentoring or regular collaborative relationship with the candidate. The department chair or dean should inform the candidate in writing that the review process has commenced and request that the candidate provide certain information.

Provide the following (in one or more attached sheets):

- A. A list of the members of the evaluation committee. Disclose any collaborative and/or mentoring relationship an evaluation committee member may have with the candidate.
- B. A copy of the notification sent to the candidate that the review process has commenced.
- C. A description of the process that led to this recommendation.

2. Biographical and Bibliographic Information

Provide the following information in a dated curriculum vitae:

- A. Academic history:
- Colleges and universities attended, degrees received, dates.
 - Scholarships and honors
 - Post-doctoral and residency training
 - Other study and research opportunities
 - Medical Board eligibility (if applicable)
- B. Employment history. List all academic and non-academic positions. List any Stanford faculty appointments in a dd/mm/yyyy format.
- C. Public and professional service.
- D. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc.
- E. A complete list of scholarly publications or other creative works. Distinguish between peer-reviewed and non-peer-reviewed publications. Group original works (e.g. books, articles, performances, exhibitions) separately from other materials (e.g. commentaries, reviews, editorials). Include page numbers. If pertinent, list other writings such as abstracts, technical reports, etc.

3. Description of the Candidate's Role

Provide the following (in one or more attached sheets):

A. Scholarly work:

Describe (in no more than 2 pages) the candidate's scholarly work since initial appointment at Stanford, with particular reference to its significance and importance for the field, in terms that are understandable to a Stanford faculty member outside the candidate's field. If appropriate, comment on contemporary schools of thought in the field, its recent history, or other such contextual factors that might illuminate the candidate's contribution. For example, describe the authorship practices of the candidate's particular discipline, the contribution of the candidate to multi-authored publications listed in his or her CV, and the candidate's contribution to the work as compared to the other authors, particularly former mentors. Include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

B. Other academic activities:

Describe, if applicable, the candidate's planned academic activities other than scholarship and teaching, and how they align with the programmatic needs of the department, school and University, for example:

1. Creative works (including dramatic productions, musical performance, studio art, etc.):

Describe (in terms that are understandable to a Stanford faculty member outside the candidate's field) any significant creative works produced by the candidate, with particular reference to their importance in the field. If appropriate, comment on contemporary schools of thought or practice in the field, the field's recent history, or other such contextual factors that might illuminate the candidate's contribution, and include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

2. Clinical activities:

Describe, if applicable, the candidate's planned clinical activities and how they align with the mission of the applicable school (e.g., the School of Law, the School of Medicine and the applicable medical center). *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

C. Teaching and advising:

Describe, for all ranks as applicable, the candidate's teaching and advising role (all members of the Academic Council are expected to teach in some capacity). Include a summary of teaching commitments since the beginning of the candidate's Stanford appointment (or since the last multi-year reappointment), with course titles and numbers, units and enrollments. Describe any pedagogical innovations or course development activities in which the candidate has participated. Optional: Include a list

of current and former masters, Ph.D. and postdoctoral trainees and their current positions. *(Please save your evaluation of the candidate's teaching for the "Evaluation of the Candidate" section below)*

D. Candidate's statement:

Include a statement by the candidate about his or her current scholarly, teaching and other academic activities and plans (clearly legible and not to exceed 5 pages).

Instructions for Submitting Evidence (Sections 4, 5 and 6)

Set forth below are the guidelines relating to evidentiary sections of the form (Section 4 – Referee Letters; Section 5 – Student Letters; and Section 6 – Teaching and Clinical Evaluations). The guidelines are organized by rank and line as follows:

Reappointment to the rank of:

- Assistant Professor all lines)
- Associate Professor, without tenure
- Professor, without tenure
- Assistant Professor (Research)
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (Teaching)
- Senior Fellow in a specified policy center or institute
- Assistant Professor (MCL)

Promotion to the rank of:

- Associate Professor, without tenure
- Associate Professor (Research)
- Professor (Research)
- Associate Professor (MCL)

| Reappointment of Assistant Professor (all lines) | |
|---|---|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 3-5 Letters • Evaluations from external or internal referees (or a combination thereof) are expected to assess the candidate’s scholarship and career trajectory. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Comparative evaluations to peers are not required. |
| TEACHING | <p>Evidence in the form of letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice and in accordance with requirements below.</p> <ul style="list-style-type: none"> • No separate referee letters required. • Undergraduate student letters: If appropriate to the candidate’s role, solicit 6-12. • Graduate student letters: If the candidate is expected to direct graduate study, include names and graduation dates of all doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. • Student evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee. • If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) • The department or school should document the process used to generate student letters, following the guidelines just described, and should include |

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| | <ul style="list-style-type: none"> tallies of the number of letters requested and received. Copies of all available standardized course evaluation summaries are expected. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> No separate referee or student/trainee letters required. Following usual school practice, available assessments of clinical and/or other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

| Reappointment or Promotion of Tenure Line Associate Professor or Professor (without tenure) | |
|--|---|
| SCHOLARSHIP | <ul style="list-style-type: none"> 4-7 Letters |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> Need not be comparative; however, include comparative evaluations (comparison set of 4-6 scholars) according to school practice or when deemed appropriate to judge candidate's work. All or most of the individuals in the comparison set should be scholars who would likely be appointable at Stanford. |
| TEACHING | <p>Evidence in the form of letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted following usual school practice and in accordance with the requirements below.</p> <ul style="list-style-type: none"> No separate referee letters required. Undergraduate student letters: If appropriate to the candidate's role, solicit 6-12. Graduate student letters: If the candidate is expected to direct graduate study, include names and graduation dates of all doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. Student evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. Copies of all available standardized course evaluation summaries are expected. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> No separate referee or student/trainee letters required. Following usual school practice, available assessments of clinical and/or other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

| Reappointment or Promotion of Non-Tenure Line Associate Professor (Research) or Professor (Research) | |
|---|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 4-7 Letters |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Need not be comparative; however, include comparative evaluations (comparison set of 4-6 scholars) according to school practice or when deemed appropriate to judge candidate's work. • All or most of the individuals in the comparison set should be scholars who would likely be appointable at Stanford. |
| TEACHING | <ul style="list-style-type: none"> • No separate referee or student/trainee letters required. • Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • Not Applicable |

| Reappointment or Promotion of Non-Tenure Line Associate Professor (Teaching) | |
|---|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • In cases where the candidate is an active scholarly contributor, 2-3 of the required letters (see Teaching below) should assess the candidate's scholarly contributions. |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Evaluations need not be comparative. |
| TEACHING | <ul style="list-style-type: none"> • 4-7 letters • Evaluations from external or internal referees (or a combination thereof) are expected to assess the candidate's pedagogical contributions. • Undergraduate letters: If appropriate to the candidate's role, solicit 6-12. • Graduate student letters: If the candidate is expected to direct graduate study, include names and graduation dates of all doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. • Student evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee. • If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) • The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. • Copies of all available standardized course evaluation summaries are expected. |

| Reappointment of Senior Fellow | |
|---------------------------------------|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 4-7 Letters |
| COMPARATIVE EVALUATIONS | <ul style="list-style-type: none"> • Need not be comparative; however, include comparative evaluations (comparison set of 4-6 scholars) according to school practice or when deemed appropriate to judge candidate's work. • All or most of the individuals in the comparison set should be scholars who would likely be appointable at Stanford. |
| TEACHING | <ul style="list-style-type: none"> • No separate referee or student/trainee letters required. • Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • Not Applicable |

| Reappointment of MCL Associate Professor or Promotion of MCL Assistant Professor to MCL Associate Professor | |
|--|--|
| SCHOLARSHIP | <ul style="list-style-type: none"> • 5-8 External Letters, 3-5 Internal • Evaluations must assess the candidate's scholarly contributions. |
| COMPARATIVE EVALUATIONS | Evaluations need not be comparative. |
| TEACHING | <p>Evidence in the form of letters from trainees, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice.</p> <ul style="list-style-type: none"> • If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) • The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received. |
| OTHER ACTIVITIES | <ul style="list-style-type: none"> • No separate referee or student/trainee letters required. • Following usual school practice, available assessments of clinical and other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments. |

4. Referee Letters

Provide the following (in one or more attached sheets):

- A. A list of referees (determined through consultation between the department chair, if applicable, and dean) who were asked for evaluations, and a brief comment on the stature and competence of each to judge the candidate's work. Disclose any professional relationship of the referees with the candidate. Clearly note responses received, declines, and non-responses. *NOTE: Evaluations from internal referees may be submitted according to school practice.*
- B. A sample of the solicitation letter sent to referees and any follow-up correspondence. The solicitation letter should provide referees with a description of the candidate's role and the evaluative criteria so that referees may provide an informed and meaningful assessment (See the preceding chart for guidelines concerning referee letters that apply to particular actions). When no response is received to a solicitation, there should be a minimum of two follow-up requests. *NOTE: Refrain from having a mentor or co-investigator solicit referee evaluations.*
- C. A list of the scholars in the comparison set (if applicable). Include each named peer's highest degree, the year conferred and the academic institution from which he or she received it, his or her current title and institution, and a very brief description of his or her area of expertise.
- D. All external referee letters, declinations and any other correspondence with referees.
- E. All internal referee letters, declinations and any other correspondence with referees.

(Please save your discussion of the referee letters for the "Evaluation of the Candidate" section below.)

5. Student Letters

Provide (in one or more attached sheets):

- A. A list of trainees solicited for letters, with a description of the process used to determine which trainees to contact. Indicate which are current and which are former trainees.
- B. A sample of the solicitation letter sent to trainees. When no response is received to a solicitation, there should be a minimum of two follow-up requests.
- C. All student/trainee letters, declinations and any other correspondence with students/trainees.

(Please save your discussion of these letters for the "Evaluation of the Candidate" section below.)

6. Teaching and Clinical Evaluations

Provide the following (in one or more attached sheets):

- A. Copies of all available standardized course evaluation summaries. Do not include large volumes of individual evaluations; if comments are included in such evaluations, provide a representative sample.
- B. If applicable, copies of all available forms or other instruments used to document clinical skills, with summaries of responses.

(Please save your discussion of these evaluations for the “Evaluation of the Candidate” section below.)

7. Evaluation of the Candidate

Provide the following (in one or more attached sheets):

- A. An evaluation of the quality and promise of the candidate's performance to date in the areas of scholarship, teaching, clinical work (if applicable), and/or other pertinent aspects of his or her performance. If there are identified weaknesses, describe what provisions are being made to help the candidate improve his or her performance. Justify the recommendation to reappoint or promote the candidate in light of the qualifications described above.
- B. Provide the evaluation committee report, if applicable

Deans and department chairs are reminded that consideration of reappointment and promotion cases should include an account of the future of the department/division and/or school, which may include consideration of programmatic need.

Criteria for candidates in the Tenure Line:

While non-tenured term appointments are (in general) made with the clear possibility of reappointment or promotion, there is no entitlement to reappointment or promotion at the end of the term, and such action is by no means automatic. Instead, decisions on reappointment and promotion are, like decisions on initial appointment, subject to the exercise of professional and scholarly judgment and discretion by the University's departmental faculty and academic leadership.

A recommendation for reappointment or promotion must be preceded by a careful evaluation of the available information on the candidate's demonstrated performance and achievement in research, teaching (as applicable), and/or other pertinent aspects of his or her performance since initial appointment to the Stanford faculty, so as to ensure that the candidate continues to meet expectations of excellence. Candidates may be reappointed on the basis of progress, high-level performance, and their continuing to fulfill programmatic need.

1. **Scholarship:** Factors considered in assessing research performance or promise include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; recognition in the field; ability to work effectively as part of a research team (if relevant); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.
2. **Teaching:** Teaching is broadly defined to include: the classroom, studio, laboratory or clinical setting; advising; mentoring; program building; and curricular innovation. The teaching record should include, as appropriate, undergraduate, graduate, and postdoctoral instruction, of all types.

Factors considered in assessing teaching performance or promise may include (but are not limited to) the following: knowledge of the material; clarity of exposition; positive style of interaction with students; availability; professionalism, institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to stimulate further education.

3. **Clinical work:** Excellence in clinical practice or clinical care is a requirement for those candidates (such as in the School of Law or in the School of Medicine) whose duties include such practice. Factors considered in assessing clinical performance include (but are not limited to) the following: clinical knowledge; clinical judgment; procedural skills (if relevant); clinical

productivity; clinical outcomes or results; professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the clinical team; and effective communication with colleagues, staff, students, and patients or clients.

4. **Other activities:** In judging candidates for reappointment or promotion whose work involves creative writing, dramatic or musical composition or performance, works of art, and the equivalent, special criteria are to be defined and applied. In general, the judgment of teaching quality for these faculty should follow procedures applicable to all faculty.
5. **Service:** Service (including what may be called institutional citizenship), although relevant, is not a primary criterion for reappointment. Since a major commitment to administrative activities may detract from the time available for the primary areas of research and teaching, **Assistant Professors** are discouraged from significant administrative commitment.
6. **Career trajectory:** At the time of reappointment, it is expected that an **Assistant Professor** will be on a career trajectory consistent with both Stanford standards and the standards of his or her discipline in scholarship, teaching and (if applicable) other activities. The reappointment process should include an evaluation of whether there is a realistic chance for promotion in the future on the basis of continuation of the candidate's work.

Evidence for reappointment as or promotion to **Associate Professor without tenure** and **Professors without tenure** must show that the faculty member is on a career trajectory consistent with both Stanford standards and the standards of his or her discipline in scholarship, teaching and (if applicable) other activities. There must exist a realistic chance for reappointment or promotion with tenure in the future on the basis of continuation of the candidate's work. Evidence for non-tenured promotions must show that the candidate's performance, including scholarly work and teaching, has been sufficiently strong to justify advancement in rank.

Additional information for particular ranks and lines:

7. Candidates for reappointment and promotion as **Assistant Professor (Research)**, **Associate Professor (Research)** or **Professor (Research)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as for comparable tenure line appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Deans and department chairs should be aware that individuals appointed to these ranks would normally hold terms "coterminous with continued salary and other research funding from sponsored projects."
8. Candidates for reappointment as **Associate Professor (Teaching)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as comparable tenure line appointments, but are evaluated (in general) by higher standards with respect to teaching. In cases where evaluation by external referees may not be appropriate, a thorough evaluation of the candidate's teaching and pedagogical contributions is particularly crucial. Even though the candidate may be a scholarly contributor, he or she is not evaluated by the same standards with respect to scholarship. As to scholarship (where applicable), it would be expected that the candidate is regarded as a strong scholarly contributor, though not necessarily a leader in the field.
9. Candidates for reappointment as **Senior Fellow** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as tenure line Professor appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standard with respect to teaching. Appointments to this rank are

contingent on continued programmatic need and program funding. (For Senior Fellow appointments of faculty with pre-existing primary appointments in academic departments, follow the procedure described in the Faculty Handbook, Chapter 2.

10. For criteria for reappointment as **Assistant Professor**, or for reappointment as or promotion to **Associate Professor, and Professor in the MCL**, see the School of Medicine Faculty Handbook, Chapter 2, Sections 2.25 through 2.29 (<http://med.stanford.edu/academicaffairs/handbook/chap2.html>).

8. Counseling

Provide (in one or more attached sheets):

The proposed (draft) counseling letter or memorandum that the candidate will receive regarding his or her academic progress and performance based on the results of this review.

One of the most important aspects of the reappointment process is the opportunity it provides to give candid feedback to a junior faculty member on his or her academic performance and progress to date based on the results of this reappointment or promotion review. The counseling letter provides a vehicle for this feedback, which should be constructive, realistic, and specifically tailored to the candidate and to the standards and criteria he or she will face in a future review or promotion.

Appropriate areas to discuss may include: scholarship quality to date; general expectations of the discipline with respect to quantity; form or scholarly venue of publications; expectations, if applicable, about other indicators of recognition such as grant funding; suggestions for the research program that may be helpful; teaching quality, quantity, and type to date (including acknowledgment of special efforts in teaching); quality of performance in other academic activities (such as creative works or clinical practice), if applicable; general expectations as to levels of service appropriate for junior faculty (and acknowledgment of special service efforts); and any institutional citizenship issues.

As to junior faculty in the tenure line, the letter might note that, at the time of the future tenure decision, referees will be asked whether the candidate is not only among the best scholars in his or her experience cohort in a broadly defined field, but is also likely to become one of the very best in the field; in short, the judgment will be both comparative and predictive. Because in general this judgment cannot be made until the referee letters are gathered and the tenure file is compiled, the counseling letter should not opine that the junior faculty member is currently “on track” to promotion.

Finally, although the purpose of the counseling letter is to offer practical guidance to the junior faculty member in regard to his or her future efforts (such as by pointing out areas for potential attention or improvement), the candidate should understand that the strategic advice offered is not a prescription for achieving promotion, but rather the letter writer’s best judgment based on the results of this review, to be accepted or rejected as the junior faculty member chooses. It bears repeating that the ultimate responsibility for career trajectory and success lies with each faculty member himself or herself.

9. Department or School Approval

Provide the following (in one or more attached sheets):

- A. Discuss any reservations that may have been expressed concerning the candidate and how they have been resolved.
- B. Describe the departmental voting practice.
- C. Was this voting practice employed for this recommendation?
- D. Did all members of the group(s) have an opportunity to vote on this recommendation?
- E. Summarize the vote. If the vote was not unanimous, please explain.

**B3 STANFORD PROFESSORIATE:
REAPPOINTMENT OR PROMOTION
INITIALLY CONFERRING TENURE OR A CONTINUING TERM OF APPOINTMENT**

| |
|---|
| BLACK TEXT – SHOULD APPEAR IN FINAL PAPERS BLUE TEXT – INFORMATION FOR PREPARING PAPERS; DO NOT INCLUDE IN FINAL |
|---|

Use this form for reappointment to the rank of:

- Associate Professor, with tenure
- Professor, with tenure
- Associate Professor (Research) for a continuing term of appointment
- Associate Professor (Teaching) for a continuing term of appointment
- Professor (Research) for a continuing term of appointment
- Professor (Teaching) for a continuing term of appointment
- Senior Fellow in a policy center or institute, for a continuing term of appointment
- Professor (MCL) for a continuing term of appointment

And promotion to the rank of:

- Associate Professor, with tenure
- Professor, with tenure
- Associate Professor (Research) for a continuing term of appointment
- Associate Professor (Teaching) for a continuing term of appointment
- Professor (Research) for a continuing term of appointment
- Professor (Teaching) for a continuing term of appointment

NOTE: Various schools may have school specific policies and practices that must be followed. Those carrying out faculty searches are urged to consult their dean's office for the pertinent information. Users of this form should also review Chapter 2 of the Faculty Handbook for University policies and practices relevant to faculty appointments.

Continuing Term of Appointment

A continuing term of appointment does not confer tenure. It provides security of appointment without requiring further formal academic reappointment; it may be terminated for just cause or (upon proper notice) when satisfactory performance or programmatic need ceases. Continuing terms of appointment for Associate Professor (Research) and Professor (Research) are normally “coterminous with continued salary and other research funding from sponsored projects.”

Part-time, Joint and Coterminous Appointments

If an individual is being recommended for a part-time appointment, indicate on the form the percentage of full-time. If an individual is being recommended for a joint appointment, indicate the percentage of time of each appointment; the department chairs and deans for both departments must sign this form.

When an individual is being recommended for an appointment coterminous with support or with an administrative assignment at Stanford or an affiliated institution, department chairs and deans are to note the coterminous nature of the appointment, generally stated as “Coterminous with continued salary and other research funding from sponsored projects.” The statement may vary to meet specific situations; for example, appointments at SLAC carry the qualification “Coterminous with continuation of contract support at SLAC.” Questions about specific wording should be directed to the Provost's Faculty Affairs group.

TO THE ADVISORY BOARD AND THE PRESIDENT:

(last name)

(first name)

(middle name)

is hereby recommended for reappointment/promotion to the rank of:

Beginning on _____

Fill out as applicable:

Primary department/school/policy institute _____ at _____ % time

Secondary department/school/policy institute _____ at _____ % time

Medical Center affiliation (for MCL) _____ at _____ % time

Courtesy department/school _____ at _____ % time

Appointment is (check one):

- With tenure
 For a continuing term of appointment

Appointment is (if applicable, check one):

- Coterminous with continued salary and other research funding from sponsored projects
 Coterminous with continued salary and other support from _____
 Coterminous with _____

Recommended by (as applicable):

(Chair of primary department) (date)

(Dean of primary department) (date)

(Chair of secondary department/Director) (date)

(Dean of secondary department/Institute) (date)

Approved for recommendation to the Advisory Board (Academic Council) or to the President (MCL):

(Provost) (date)

Approved for recommendation to the President by the Advisory Board (Academic Council):

(Advisory Board Chair) (date)

1. Evaluation Process

The department chair or dean should appoint an evaluation committee to carry out the evaluation. The evaluation committee should be chaired by someone who has no mentoring or regular collaborative relationship with the candidate. The department chair or dean should inform the candidate in writing that the review process has commenced and request that the candidate provide certain information.

Provide the following (in one or more attached sheets):

- A. A list of the members of the evaluation committee. Disclose any collaborative and/or mentoring relationship an evaluation committee member may have with the candidate.
- B. A copy of the notification sent to the candidate that the review process has commenced.
- C. A description of the process that led to this recommendation.

2. Biographical and Bibliographic Information

Provide the following information in a dated curriculum vitae:

- A. Academic history:
- Colleges and universities attended, degrees received, dates.
 - Scholarships and honors
 - Post-doctoral and residency training
 - Other study and research opportunities
 - Medical Board eligibility (if applicable)
- B. Employment history. List all academic and non-academic positions.
- C. Public and professional service.
- D. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc.
- E. A complete list of scholarly publications or other creative works. Group original works (e.g. books, articles, performances, exhibitions) separately from other materials (e.g. commentaries, reviews, editorials). Include page numbers. If pertinent, list other writings such as abstracts, technical reports, etc.

3. Description of the Candidate's Role

Provide (in one or more attached sheets):

A. Scholarly work:

Describe (in no more than 2 pages) the candidate's scholarly work since initial appointment at Stanford, with particular reference to its significance and importance for the field, in terms that are understandable to a Stanford faculty member outside the candidate's field. If appropriate, comment on contemporary schools of thought in the field, its recent history, or other such contextual factors that might illuminate the candidate's contribution. For example, describe the authorship practices of the candidate's particular discipline, the contribution of the candidate to multi-authored publications listed in his or her CV, and the candidate's contribution to the work as compared to the other authors, particularly former mentors. Include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation or search committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

B. Other academic activities:

Describe, if applicable, the candidate's planned academic activities other than scholarship and teaching, and how they align with the programmatic needs of the department, school and University. For example:

1. Creative works (including dramatic productions, musical performance, studio art, etc.):

Describe (in terms that are understandable to a Stanford faculty member outside the candidate's field) any significant creative works produced by the candidate, with particular reference to their importance in the field. If appropriate, comment on contemporary schools of thought or practice in the field, the field's recent history, or other such contextual factors that might illuminate the candidate's contribution, and include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

2. Clinical activities:

Describe, if applicable, the candidate's planned clinical activities and how they align with the mission of the applicable school (e.g., the School of Law, the School of Medicine and the applicable medical center). *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

C. Teaching and advising:

Describe, for all ranks as applicable, the candidate's teaching and advising role (all members of the Academic Council are expected to teach in some capacity). Include a summary of teaching commitments since the beginning of the candidate's Stanford appointment (or since the last multi-year reappointment), with course titles and numbers, units and enrollments. Describe any pedagogical innovations or course

development activities in which the candidate has participated. *(Please save your evaluation of the candidate's teaching for the "Evaluation of the Candidate" section below)*

D. Candidate's statement:

Include a statement by the candidate about his or her current scholarly, teaching and other academic activities and plans (clearly legible and not to exceed 5 pages).

**4(a). Evidence Gathered
General Requirements**

NOTE: Printouts of electronic mail communications are acceptable for inclusion in the file, although departments are encouraged to exercise care in safeguarding the confidentiality of such communications. In general, departments and schools should consider the balance between the potentially low level of security of electronic mail and the convenience of a rapid response.

| Action | to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|--|---|---|------------------------------------|---|--|--|--|--|
| Reappointment or Promotion Initially conferring tenure | Tenure line Associate Professor/Professor | 8-12 | a | b | c | d | e | f |

^a Must be comparative. Comparison set of **4-6** scholars.

^b All or most of the individuals in the comparison set should be scholars who would likely receive tenure at Stanford.

^c No separate referee letters required. The number of undergraduate student letters should normally be between **6 and 12**. If the candidate is expected to direct graduate study, include names and dates of doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. These evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee.

^d Letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) There should be a minimum of two follow-up requests to non-respondents. The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received.

^e No separate referee or student/trainee letters required.

^f Following usual school procedure, available assessments of other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments.

| Action | to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|---|--|---|----------------------------|--|---|-------------------------------------|---|--|
| Reappointment or Promotion Initially conferring continuing term of appointment. | Non-tenure line Associate Professor(Research) or Professor(Research) | 8-12 | a | g | e | h | Not applicable | Not applicable |
| Reappointment or Promotion Initially conferring continuing term of appointment. | Non-tenure line Associate Professor(Teaching) or Professor(Teaching) | i | j | k | 8-12 ^l | m | e | f |

^g All or most of the individuals in the comparison set should be scholars who would likely be appointable at Stanford.

^h Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included.

ⁱ In cases where the candidate is an active scholarly contributor, **a minimum of 3** of the required letters should assess the candidate's scholarly contributions.

^j Referee letters need not be comparative.

^k Letters may be from external and/or internal referees.

^l Evaluations from external or internal referees (or a combination thereof) are expected to assess the candidate's pedagogical contributions. In cases where the candidate is an active scholarly contributor, refer to *footnote i*. The number of undergraduate student letters should normally be between 6 and 12. If the candidate is expected to direct graduate study, include names and dates of doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. These evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee.

^m Solicitation letter should provide referees with description of the candidate's role and the evaluative criteria so that referees may provide an informed and meaningful assessment. Letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set

| Action | to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|---|---|---|----------------------------|--|---|-------------------------------------|---|--|
| Reappointment or Promotion Initially conferring continuing term of appointment. | Senior Fellow | 8-12 | a | g | e | h | e | f |
| Reappointment or Promotion | MCL Associate Professor or Professor | 5 to 8 external 3-5 internal | j | n | o | d | e | p |

of students should be solicited for letters.) There should be a minimum of two follow-up requests to non-respondents. The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received.

ⁿ Evaluations must assess the candidate's scholarly contributions.

^o Letters from trainees, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice.

^p Following usual school procedure, available assessments of clinical activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments.

4(b). Referee Letters

Provide the following (in one or more attached sheets):

- A. A list of referees (determined through consultation between the department chair, if applicable, and dean) who were asked for evaluations, and a brief comment on the stature and competence of each to judge the candidate's work. Disclose any professional relationship of the referees with the candidate. *NOTE: Evaluations from internal referees may be submitted according to school practice.*
- B. A sample of the solicitation letter sent to referees and any follow-up correspondence. (See the following chart for guidelines concerning referee letters.) *NOTE: Refrain from having a mentor or co-investigator solicit referee evaluations.*
- C. A list of scholars in the comparison set (if applicable). Include each named peer's highest degree, the year conferred and the academic institution from which he or she received it, his or her current title and institution, and a very brief description of his or her area of expertise.
- D. All external referee letters, declinations and any other correspondence with referees.
- E. All internal referee letters, declinations and any other correspondence with referees.

(Please save your discussion of the referee letters for the "Evaluation of the Candidate" section below.)

4(c). Student Letters

Provide (in one or more attached sheets):

All student/trainee letters, declinations and any other correspondence with students/trainees.

(Please save your discussion of these letters for the "Evaluation of the Candidate" section below.)

4(d). Teaching and Clinical Evaluations

Provide the following (in one or more attached sheets):

- A. Copies of all available standardized course evaluation summaries.
- B. If applicable, copies of all available forms or other instruments used to document clinical skills, with summaries of responses.

(Please save your discussion of these evaluations for the "Evaluation of the Candidate" section below.)

5. Evaluation of the Candidate

Provide (in one or more attached sheets):

- A. An evaluation of the quality and promise of the candidate's performance to date in the areas of scholarship, teaching, clinical work (if applicable), and/or other pertinent aspects of his or her performance. If there are identified weaknesses, describe what provisions are being made to help the candidate improve his or her performance. Justify the recommendation to reappoint or promote the candidate in light of the qualifications described above.
- B. The evaluation committee report.

Deans and department chairs are reminded that consideration of reappointment and promotion cases should include an account of the future of the department/division and/or school, which may include consideration of programmatic need.

Criteria for candidates in the Tenure Line:

While non-tenured term appointments are (in general) made with the clear possibility of reappointment and/or promotion, there is no entitlement to reappointment or promotion at the end of the term, and such action is by no means automatic. Instead, decisions on reappointment and promotion are, like decisions on initial appointment, subject to the exercise of professional and scholarly judgment and discretion by the University's departmental faculty and academic leadership.

1. **Scholarship:** For recommendations of reappointment or promotion of a member of the Stanford faculty to tenure status, the department or school is obliged to present evidence that the candidate's overall performance justifies the award of tenure, including that the candidate has achieved true distinction in scholarship. The scholarship must clearly reveal that the candidate is not only among the best in his or her experience cohort in a broadly defined field, but is also likely to become one of the very best in the field. In short, the judgment is both comparative and predictive. It focuses on issues such as whether the candidate is performing the kind of innovative, cutting-edge research on important questions in the field that breaks new ground, changes the way the field is viewed, broadens our understanding of the field, or opens up new methods or new areas of investigation, and thereby has (or is likely to have) the fundamental impact on the field that is expected from the very best scholars in the field.

Factors considered in assessing research performance or promise include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; recognition in the field; ability to work effectively as part of a research team (if relevant); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.

2. **Teaching:** Teaching is an important component of professorial appointments at Stanford, and the University is dedicated to outstanding achievement in this area. The teaching record must clearly reveal that the candidate is capable of sustaining a first-rate teaching program during his or her career at Stanford. Teaching is broadly defined to include the classroom, studio, laboratory, or clinical setting, advising, mentoring, program building, and curricular innovation. The teaching record should include, as appropriate, undergraduate, graduate, and postdoctoral instruction, of all types.

Factors considered in assessing teaching performance or promise include (but are not limited to) the following: knowledge of the material; clarity of exposition; positive style of interaction with students; availability; professionalism, institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to stimulate further education.

3. **Clinical work:** Excellence in clinical practice or clinical care is a requirement for those candidates (such as in the School of Law or in the School of Medicine) whose duties include such practice. Factors considered in assessing clinical performance include (but are not limited to) the following: clinical knowledge; clinical judgment; procedural skills (if relevant); clinical productivity; clinical outcomes or results; professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the clinical team; and effective communication with colleagues, staff, students, and patients or clients.
4. **Other activities:** In judging candidates for reappointment or promotion whose work involves creative writing, dramatic or musical composition or performance, works of art, and the equivalent, appropriate criteria are to be defined and applied. In general, the judgment of teaching quality for these faculty should follow procedures applicable to all faculty.
5. **Service:** Candidates for reappointment or promotion in the tenure line are primarily assessed on the basis of their achievements in the areas of scholarship and teaching, as noted above. Service (including what might be called institutional citizenship), although relevant, is not a primary criterion.

Additional information for particular ranks and lines:

6. Candidates for reappointment and promotion for a continuing term of appointment as **Associate Professor (Research)** or **Professor (Research)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as for comparable tenure line appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Deans and department chairs should be aware that individuals appointed to these ranks would normally hold terms “coterminous with continued salary and other research funding from sponsored projects.”
7. Candidates for reappointment or promotion for a continuing term of appointment as **Associate Professor (Teaching)** or **Professor (Teaching)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as comparable tenure line appointments, but are evaluated (in general) by higher standards with respect to teaching. Even though the candidate may be a scholarly contributor, he or she is not evaluated by the same standards with respect to scholarship. In cases where comparative evaluation by external referees may not be appropriate, a thorough evaluation of the candidate’s teaching and pedagogical contributions is particularly crucial. As to scholarship (and where applicable), it would be expected that the candidate is regarded as a strong scholarly contributor, though not necessarily a leader in the field.
8. Candidates for reappointment as **Senior Fellow** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as tenure line Professor appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Appointments to this rank are contingent on continued programmatic need and program funding. (For Senior Fellow appointments of faculty with pre-existing primary appointments in academic departments, follow the procedure described in the Faculty Handbook, Chapter 2.

9. For criteria for reappointment and promotion to the rank of **Professor** with a continuing term of appointment in the MCL, see the School of Medicine Faculty Handbook, Chapter 2, Sections 2.25 through 2.29 (<http://med.stanford.edu/academicaffairs/handbook/chap2.html>).

6. Counseling (optional)

Guidelines:

A counseling memo is not required with this action. Nevertheless, it is advisable that the candidate receive (in general terms) informal guidance regarding his or her academic progress and performance based on the results of the review. The manner in which this guidance may be communicated is left to the discretion of the department chair or dean.

7. Department or School Approval

Provide the following (in one or more attached sheets):

- A. Discuss any reservations that may have been expressed concerning the candidate and how they have been resolved.
- B. Describe the departmental voting practice.
- C. Was this voting practice employed for this recommendation?
- D. Did all members of the group(s) have an opportunity to vote on this recommendation?
- E. Summarize the vote. If the vote was not unanimous, please explain.

**B4 STANFORD PROFESSORIATE:
PROMOTION
FOR INDIVIDUALS PREVIOUSLY CONFERRED WITH TENURE OR CURRENTLY IN AN
APPOINTMENT FOR A CONTINUING TERM**

| |
|---|
| BLACK TEXT – SHOULD APPEAR IN FINAL PAPERS BLUE TEXT – INFORMATION FOR PREPARING PAPERS; DO NOT INCLUDE IN FINAL |
|---|

Use this form for promotion from:

- Tenured Associate Professor to tenured Professor
- Associate Professor (Research) with a continuing term of appointment to Professor (Research) with a continuing term of appointment
- Associate Professor (Teaching) with a continuing term of appointment to Professor (Teaching) with a continuing term of appointment

NOTE: Various schools may have school specific policies and practices that must be followed. Those carrying out faculty searches are urged to consult their dean's office for the pertinent information. Users of this form should also review Chapter 2 of the Faculty Handbook for University policies and practices relevant to faculty appointments.

Continuing Term of Appointment

A continuing term of appointment does not confer tenure. It provides security of appointment without requiring further formal academic reappointment; it may be terminated for just cause or (upon proper notice) when satisfactory performance or programmatic need ceases. Continuing terms of appointment for Associate Professor (Research) and Professor (Research) are normally "coterminous with continued salary and other research funding from sponsored projects."

Part-time, Joint and Coterminous Appointments

If an individual is being recommended for a part-time appointment, indicate on the form the percentage of full-time. If an individual is being recommended for a joint appointment, indicate the percentage of time of each appointment; the department chairs and deans for both departments must sign this form.

When an individual is being recommended for an appointment coterminous with support or with an administrative assignment at Stanford or an affiliated institution, department chairs and deans are to note the coterminous nature of the appointment, generally stated as "Coterminous with continued salary and other research funding from sponsored projects." The statement may vary to meet specific situations; for example, appointments at SLAC carry the qualification "Coterminous with continuation of contract support at SLAC." Questions about specific wording should be directed to the Provost's Faculty Affairs group.

TO THE PROVOST AND THE PRESIDENT:

(last name)

(first name)

(middle name)

is hereby recommended for reappointment/promotion to the rank of:

Beginning on _____

Fill out as applicable:

Primary department/school/policy institute _____ at _____ % time

Secondary department/school/policy institute _____ at _____ % time

Courtesy department/school _____ at _____ % time

Appointment is (if applicable, check one):

___ Cotermious with continued salary and other research funding
from sponsored projects

___ Cotermious with continued salary and other support
from _____

___ Cotermious with _____

Recommended by (as applicable):

(Chair of primary department)

(date)

(Dean of primary school)

(date)

(Chair of secondary department/Director)

(date)

(Dean of secondary school/Institute)

(date)

Approved for recommendation to the President:

(Provost)

(date)

1. Evaluation Process

The department chair or dean should appoint an evaluation committee to carry out the evaluation. The evaluation committee should be chaired by someone who has no mentoring or regular collaborative relationship with the candidate. The department chair or dean should inform the candidate in writing that the review process has commenced and request that the candidate provide certain information.

Provide the following (in one or more attached sheets):

- A. A list of the members of the evaluation committee. Disclose any collaborative and/or mentoring relationship an evaluation committee member may have with the candidate.
- B. A copy of the notification sent to the candidate that the review process has commenced.
- C. A description of the process that led to this recommendation.

2. Biographical and Bibliographic Information

Provide the following information in a dated curriculum vitae:

- A. Academic history:
 - Colleges and universities attended, degrees received, dates.
 - Scholarships and honors
 - Post-doctoral and residency training
 - Other study and research opportunities
 - Medical Board eligibility (if applicable)
- B. Employment history. List all academic and non-academic positions.
- C. Public and professional service.
- D. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc.
- E. A complete list of scholarly publications or other creative works. Group original works (e.g. books, articles, performances, exhibitions) separately from other materials (e.g. commentaries, reviews, editorials). Include page numbers. If pertinent, list other writings such as abstracts, technical reports, etc.

3. Description of the Candidate's Role

Provide the following (in one or more attached sheets):

A. Scholarly work:

Describe (in no more than 2 pages) the candidate's scholarly work since his or her last review at Stanford, with particular reference to its significance and importance for the field, in terms that are understandable to a Stanford faculty member outside the candidate's field. If appropriate, comment on contemporary schools of thought in the field, its recent history, or other such contextual factors that might illuminate the candidate's contribution. For example, describe the authorship practices of the candidate's particular discipline, the contribution of the candidate to multi-authored publications listed in his or her CV, and the candidate's contribution to the work as compared to the other authors. Include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation or search committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

B. Other academic activities:

Describe, if applicable, the candidate's planned academic activities other than scholarship and teaching, and how they align with the programmatic needs of the department, school and University. For example:

1. Creative works (including dramatic productions, musical performance, studio art, etc.):

Describe (in terms that are understandable to a Stanford faculty member outside the candidate's field) any significant creative works produced by the candidate, with particular reference to their importance in the field. If appropriate, comment on contemporary schools of thought or practice in the field, the field's recent history, or other such contextual factors that might illuminate the candidate's contribution, and include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

2. Clinical activities:

Describe, if applicable, the candidate's planned clinical activities and how they align with the mission of the applicable school (e.g., the School of Law, the School of Medicine and the applicable medical center). *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

C. Teaching and advising:

Describe, for all ranks as applicable, the candidate's teaching and advising role (all members of the Academic Council are expected to teach in some capacity). Include a summary of teaching commitments since the beginning of the candidate's Stanford appointment (or since the last multi-year reappointment), with course titles and numbers, units and enrollments. Describe any pedagogical innovations or course development activities in which the candidate has participated. *(Please save your*

evaluation of the candidate's teaching for the "Evaluation of the Candidate" section below)

D. Candidate's statement:

Include a statement by the candidate about his or her current scholarly, teaching and other academic activities and plans (clearly legible and not to exceed 5 pages).

**4(a). Evidence Gathered
General Requirements**

NOTE: Printouts of electronic mail communications are acceptable for inclusion in the file, although departments are encouraged to exercise care in safeguarding the confidentiality of such communications. In general, departments and schools should consider the balance between the potentially low level of security of electronic mail and the convenience of a rapid response.

| Action | to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|---------------|--|---|------------------------------------|---|--|--|--|--|
| Promotion | Tenure line Professor | 5-8 a | b | | c | d | e | f |
| Promotion | Non-tenure line Professor(Research) | 4-7 | b | g | e | h | Not applicable | Not applicable |

^a Additional outside evaluations may be sought according to school practice. Evaluations from internal referees may be submitted according to school practice.

^b Comparative evaluations may be obtained according to school practice or when deemed appropriate to judge the candidate's work.

^c No separate referee letters required. If appropriate to the candidate's role, the number of undergraduate student letters should normally be between 6 and 12. If the candidate is expected to direct graduate study, include names and dates of doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. These evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee.

^d Letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) There should be a minimum of two follow-up requests to non-respondents. The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received.

^e No separate referee or student/trainee letters required.

^f Following usual school procedure, available assessments of other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments.

^g Additional outside evaluations may be sought according to school practice. Evaluations from internal referees may be submitted according to school practice.

^h Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included.

| Action | to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|-----------|--|--|----------------------------|--|--|-------------------------------------|---|--|
| Promotion | Non-tenure line Professor(Teaching) | i | j | k | 4-7 l | m | e | f |

ⁱ In cases where the candidate is an active scholarly contributor, 3 of the required letters should be the candidate's scholarly contributions.

^j Referee letters need not be comparative.

^k Letters may be from external and/or internal referees.

^l Evaluations from external or internal referees (or a combination thereof) are expected to assess the candidate's pedagogical contributions. In cases where the candidate is an active scholarly contributor, refer to *footnote i*. The number of undergraduate student letters should normally be between 6 and 12. If the candidate is expected to direct graduate study, include names and dates of doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. These evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee.

^m Solicitation letter should provide referees with description of the candidate's role and the evaluative criteria so that referees may provide an informed and meaningful assessment. Letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) There should be a minimum of two follow-up requests to non-respondents. The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received.

4(b). Referee Letters

Provide the following (in one or more attached sheets):

- A. A list of referees (determined through consultation between the department chair, if applicable, and dean) who were asked for evaluations, and a brief comment on the stature and competence of each to judge the candidate's work. Disclose any professional relationship of the referees with the candidate. *NOTE: Evaluations from internal referees may be submitted according to school practice.*
- B. A sample of the solicitation letter sent to referees and any follow-up correspondence. (See the following chart for guidelines concerning referee letters.) *NOTE: Refrain from having a mentor or co-investigator solicit referee evaluations.*
- C. A list of scholars in the comparison set (if applicable). Include each named peer's highest degree, the year conferred and the academic institution from which he or she received it, his or her current title and institution, and a very brief description of his or her area of expertise.
- D. All external referee letters, declinations and any other correspondence with referees.
- E. All internal referee letters, declinations and any other correspondence with referees.

(Please save your discussion of the referee letters for the "Evaluation of the Candidate" section below.)

4(c). Student Letters

Provide (in one or more attached sheets):

All student/trainee letters, declinations and any other correspondence with students/trainees.

(Please save your discussion of these letters for the "Evaluation of the Candidate" section below.)

4(d). Teaching and Clinical Evaluations

Provide the following (in one or more attached sheets):

- A. Copies of all available standardized course evaluation summaries.
- B. If applicable, copies of all available forms or other instruments used to document clinical skills, with summaries of responses.

(Please save your discussion of these evaluations for the “Evaluation of the Candidate” section below.)

5. Evaluation of the Candidate

Provide the following (in one or more attached sheets):

- A. An evaluation of the quality of the candidate's performance to date in the areas of scholarship, teaching, clinical work (if applicable), and/or other pertinent aspects of his or her performance. If there are identified weaknesses, describe what provisions are being made to help the candidate improve his or her performance. Justify the recommendation to promote the candidate in light of the qualifications described above.
- B. The evaluation committee report.

Deans and department chairs are reminded that consideration of reappointment and promotion cases should include an account of the future of the department/division and/or school, which may include consideration of programmatic need.

Criteria for candidates in the Tenure Line:

Promotion to Professor of a faculty member already holding tenure at Stanford is not an entitlement and is by no means automatic. Rather, it is a matter subject to the exercise of professional and scholarly judgment and discretion by the University's departmental faculty and academic leadership. Promotions should be preceded by a careful evaluation of the candidate's overall performance, including scholarly work and teaching, and the results of this evaluation must clearly justify promotion at the time of the recommendation.

1. **Scholarship:** In order to be promoted to Professor, a faculty member should have achieved recognized distinction in his or her field (broadly defined) and have compiled a significant record of excellent scholarly accomplishment since the time of the tenure review. In general, the evidence must show that the person being proposed for promotion is among the very best individuals in the field and not merely the best of a particular experience cohort in the field. The evaluation should address whether the candidate's performance is the kind of innovative, cutting-edge research on important questions in the field that breaks new ground, or changes the way the field is viewed, or broadens our understanding of the field, or opens up new methods or new areas of investigation, and thereby has (or is likely to have) the fundamental impact on the field that is expected from the very best scholars in the field.

Factors considered in assessing research performance include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; recognition in the field; ability to work effectively as part of a research team (if relevant); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.

2. **Teaching:** The candidate for promotion to Professor should also have achieved and maintained a record of high quality teaching and mentoring of Stanford students. Teaching is broadly defined to include: the classroom, laboratory, or clinical setting; advising; mentoring; program building; and curricular innovation. The teaching record should include, as appropriate, undergraduate, graduate, and postdoctoral instruction, of all types.

Factors considered in assessing teaching performance include (but are not limited to) the following: knowledge of the material; clarity of exposition; positive style of interaction with

students; availability; professionalism, institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to stimulate further education.

3. **Clinical work:** Excellence in clinical practice or clinical care is a requirement for those candidates (such as in the School of Law or in the School of Medicine) whose duties include such practice. Factors considered in assessing clinical performance include (but are not limited to) the following: clinical knowledge; clinical judgment; procedural skills (if relevant); clinical productivity; clinical outcomes or results; professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the clinical team; and effective communication with colleagues, staff, students, and patients or clients.
4. **Other activities:** In judging candidates for promotion whose work involves creative writing, dramatic or musical composition or performance, works of art, and the equivalent, appropriate criteria are to be defined and applied. In general, the judgment of teaching quality for these faculty should follow procedures applicable to all faculty.
5. **Service:** While the primary criteria for promotion are excellence in scholarship, teaching, and (if applicable) clinical work, service (including what might be called institutional citizenship) may also be given consideration.

Additional information for particular ranks and lines:

6. Candidates for promotion to **Professor (Research)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as for comparable tenure line appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Deans and department chairs should be aware that individuals appointed to these ranks would normally hold terms “coterminous with continued salary and other research funding from sponsored projects.”
7. Candidates for promotion to **Professor (Teaching)** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as comparable tenure line appointments, but are evaluated (in general) by higher standards with respect to teaching. In cases where evaluation by external referees may not be appropriate, a thorough evaluation of the candidate’s teaching and pedagogical contributions is particularly crucial. Even though the candidate may be a scholarly contributor, he or she is not evaluated by the same standards with respect to scholarship. As to scholarship (and where applicable), it would be expected that the candidate is regarded as a strong scholarly contributor, though not necessarily a leader in the field.

6. Counseling

Provide (in one or more attached sheets):

The proposed (draft) counseling letter or memorandum that the candidate will receive regarding his or her academic progress and performance based on the results of the review.

Guidelines:

One of the most important aspects of the process for promotion to full professor is the opportunity it provides to give candid and constructive feedback to a faculty member on his or her academic performance and progress to date based on the results of the promotion review. The counseling letter provides a vehicle for this feedback.

Appropriate areas to discuss may include: scholarship quality to date; general expectations of the discipline with respect to quantity; form or scholarly venue of publications; expectations, as applicable, about other indicators of recognition such as grant funding; suggestions for the research program that may be helpful; teaching quality, quantity, and type to date (including acknowledgment of special efforts in teaching); quality of performance in other academic activities (such as creative works or clinical practice), if applicable; general expectations as to levels of service appropriate for senior faculty (and acknowledgment of special service efforts); and any institutional citizenship issues.

The purpose of the counseling letter is to offer practical guidance and collegial feedback and advice to the faculty member in regard to his or her future efforts (such as by pointing out areas for potential attention and improvement) based on the results of the promotion review process.

7. Department or School Approval

Provide the following (in one or more attached sheets):

- A. Discuss any reservations that may have been expressed concerning the candidate and how they have been resolved.
- B. Describe the departmental voting practice.
- C. Was this voting practice employed for this recommendation?
- D. Did all members of the group(s) have an opportunity to vote on this recommendation?
- E. Summarize the vote. If the vote was not unanimous, please explain.

**B5 STANFORD PROFESSORIATE:
NEW APPOINTMENT
CONFERRING TENURE OR A CONTINUING TERM OF APPOINTMENT**

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|---|
| BLACK TEXT – SHOULD APPEAR IN FINAL PAPERS BLUE TEXT – INFORMATION FOR PREPARING PAPERS; DO NOT INCLUDE IN FINAL |
|---|

Use this form for the new appointment to the rank of:

- Associate Professor, with tenure
- Professor, with tenure
- Senior fellow in a policy center or institute, for a continuing term of appointment (when candidate is NOT currently a member of the Stanford faculty)

NOTE: Various schools may have school specific policies and practices that must be followed. Those carrying out faculty searches are urged to consult their dean's office for the pertinent information. Users of this form should also review Chapter 2 of the Faculty Handbook for University policies and practices relevant to faculty appointments.

Searches and Search Waivers

Stanford's appointment procedures are designed so that each prospective member of the faculty will be suitable for appointment to Stanford and shall be the best available person at his or her level of professional development for the proposed appointment in a broadly defined field.

1) Search

When a department or school receives authorization to appoint a new faculty member, the department chair or dean should appoint an evaluation or search committee to carry out the evaluation or search in a broadly defined field.

A rigorous and comprehensive search is required for new appointments to the Stanford professoriate. The search committee should advertise publicly all vacancies in addition to using other appropriate methods of candidate solicitation. Letters describing the position should be sent to higher education and other institutions that are likely to provide a suitable candidate.

All searches should actively engage in affirmative action in the search process; professional colleagues should be contacted to solicit names of female and minority candidates (as well as others who would bring diversity to the professoriate) and such candidates should be encouraged to apply. Contacts should be made with resources such as female and minority professional organizations and journals so that such groups are alerted to the search.

Advertisements and letters announcing vacancies must include a statement such as:

“Stanford University is an equal opportunity employer and is committed to increasing the diversity of its faculty. It welcomes nominations of and applications from women and members of minority groups, as well as others who would bring additional dimensions to the University’s research, teaching and clinical missions.”

The Office of the Provost makes available to each dean’s office availability pool data in various disciplines. Search committees are encouraged to obtain this information and seek the assistance of the Faculty Recruitment Office (<http://facultydevelopment.stanford.edu/FRO.html>).

NOTE: Departments must retain complete records of each search, including vitae of applicants, for at least three years.

2) Transitions between faculty lines

Recommendations resulting in transitions between faculty lines are considered new appointments and occur infrequently. If a full search was not conducted, a search waiver is required. The appointment file should contain information that distinguishes the faculty member’s current and future roles and responsibilities; in particular, it should explain the necessity for the proposed appointment. Assertions that the candidate deserves the recommended appointment for meritorious service or time in rank are not sufficient justifications.

Persons who hold or have held acting or visiting titles at Stanford or who have been at the University in other capacities occasionally become candidates for regular professorial appointments. The search committee is obliged to assemble evidence concerning candidates having prior association with the University in the same manner as for external candidates; this obligation should be made clear to candidates who hold or have held Stanford appointments.

3) Search waivers

On occasion, the Provost may approve a search waiver for a professorial position when an exceptionally talented person (usually an eminent scholar who is clearly a leader in his or her field) is unexpectedly available. The existence of such a target of opportunity may become known in the course of a regular search, through communication via professional channels, or even by the individual making it known that he or she is available.

Other potentially appropriate uses of a search waiver for a professorial position may include: for a scholar who would bring diversity to the school or department; for a transition between faculty lines where there is evidence that the individual’s activities and stature have evolved; or for a spousal appointment. There may be rare programmatic reasons that warrant a search waiver; inquiries should be addressed to the Provost’s Office.

A request to waive the search requirement for a professorial appointment must present to the Provost convincing evidence that the candidate would have emerged as the leading candidate, if there had been a search. To the extent possible, the request should be substantiated by comparative evaluations (from external and/or internal referees) and evidence of the candidate’s significant accomplishments.

In addition, a rigorous review of the candidate’s qualifications is expected in the subsequent preparation of the appointment recommendation

Continuing Term of Appointment

A continuing term of appointment does not confer tenure. It provides security of appointment without requiring further formal academic reappointment; it may be terminated for just cause or (upon proper notice) when satisfactory performance or programmatic need ceases.

Part-time, Joint and Coterminous Appointments

If an individual is being recommended for a part-time appointment, indicate on the form the percentage of full-time. If an individual is being recommended for a joint appointment, indicate the percentage of time of each appointment; the department chairs and deans for both departments must sign this form.

When an individual is being recommended for an appointment coterminous with support or with an administrative assignment at Stanford or an affiliated institution, department chairs and deans are to note the coterminous nature of the appointment, generally stated as "Coterminous with continued salary and other research funding from sponsored projects." The statement may vary to meet specific situations; for example, appointments at SLAC carry the qualification "Coterminous with continuation of contract support at SLAC." Questions about specific wording should be directed to the Provost's Faculty Affairs group.

TO THE ADVISORY BOARD AND THE PRESIDENT:

(last name)

(first name)

(middle name)

is hereby recommended for appointment to the rank of:

Beginning on _____

Fill out as applicable:

Primary department/school/policy institute _____ at _____ % time

Secondary department/school/policy institute _____ at _____ % time

Courtesy department/school _____ at _____ % time

Appointment is (check one):

- With tenure
 For a continuing term of appointment

Appointment is (if applicable, check one):

- Coterminous with continued salary and other research funding from sponsored projects
 Coterminous with continued salary and other support from _____
 Coterminous with _____

Recommended by (as applicable):

(Chair of primary department) (date)

(Dean of primary school) (date)

(Chair of secondary department/Director) (date)

(Dean of secondary school/Institute) (date)

Approved for recommendation to the Advisory Board:

(Provost) (date)

Approved for recommendation to the President by the Advisory Board:

(Advisory Board Chair) (date)

1. Billet Information

Provide:

A. Primary Department: _____

Billet/Position Numbers: _____ FTE: _____

Secondary Department: _____

Billet/Position Numbers: _____ FTE: _____

B. Correspondence regarding billet and search authorization for the position for which the candidate is recommended.

2. Search and Evaluation Process

Provide (in one or more attached sheets):

- A. A list of the members of the search committee. If there was a separate evaluation committee, list the members of that as well. Disclose any collaborative and/or mentoring relationship a committee member may have with the candidate.
- B. A description of the process that led to this recommendation.
- C. A description of the affirmative action aspects of the search. Include a list of all outside sources contacted, along with samples of letters sent to such sources requesting information and/or nominations of possible candidates. Include the responses received.
- D. The completed Applicant Pool Information Form indicating the total number of applicants for the position, including their gender and ethnic background, if known. If these numbers cannot be precisely determined, explain. Please compare the composition of the candidate pool with the availability pool data for the discipline (this information is available from your dean's office).
- E. A list, in order of priority, of the finalists for this position and an explanation as to why each of those, other than the appointee, was not selected for appointment. Include a discussion of the results of the affirmative action efforts described above. *(Please evaluate the proposed appointee in the "Evaluation of the Candidate" section below).*

3. Biographical and Bibliographic Information

Provide for the Provost's Office the following confidential information (on a separate sheet):

- Date of birth; place of birth
- Social Security Number
- Ethnicity (if known)
- Citizenship status (If foreign, give visa or immigration status)
- Proof of California Medical Licensure (if applicable)

Provide the following information in a dated curriculum vitae:

A. Academic history:

- Colleges and universities attended, degrees received, dates.
- Scholarships and honors
- Post-doctoral and residency training
- Other study and research opportunities
- Medical Board eligibility (if applicable)

B. Employment history. List all academic and non-academic positions.

C. Public and professional service.

D. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc.

E. A complete list of scholarly publications or other creative works. Group original works (e.g. books, articles, performances, exhibitions) separately from other materials (e.g. commentaries, reviews, editorials). Include page numbers. If pertinent, list other writings such as abstracts, technical reports, etc.

4. Description of the Candidate's Role

Provide (in one or more attached sheets):

A. Scholarly work:

Describe (in no more than 2 pages) the candidate's scholarly work, with particular reference to its significance and importance for the field, in terms that are understandable to a Stanford faculty member outside the candidate's field. If appropriate, comment on contemporary schools of thought in the field, its recent history, or other such contextual factors that might illuminate the candidate's contribution. For example, describe the authorship practices of the candidate's particular discipline, the contribution of the candidate to multi-authored publications listed in his or her CV, and the candidate's contribution to the work as compared to the other authors, particularly former mentors. Include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation or search committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

B. Other academic activities:

Describe, if applicable, the candidate's planned academic activities other than scholarship and teaching, and how they align with the programmatic needs of the department, school and University. For example:

1. Creative works (including dramatic productions, musical performance, studio art, etc.):

Describe (in terms that are understandable to a Stanford faculty member outside the candidate's field) any significant creative works produced by the candidate, with particular reference to their importance in the field. If appropriate, comment on contemporary schools of thought or practice in the field, the field's recent history, or other such contextual factors that might illuminate the candidate's contribution, and include in the description an account of at least one specific work by the candidate and its impact or importance. Indicate the author of this statement, normally a member or members of the evaluation committee. *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

2. Clinical activities:

Describe, if applicable, the candidate's planned clinical activities and how they align with the mission of the applicable school (e.g., the School of Law, the School of Medicine and the applicable medical center). *(Please save your evaluation of the candidate for the "Evaluation of the Candidate" section below.)*

C. Teaching and advising:

Describe, for all ranks as applicable, the teaching and advising role of the candidate (all members of the Academic Council are expected to teach in some capacity). Describe the candidate's prior teaching experience and performance, including any pedagogical innovations or course development activities in which the candidate has participated. *(Please save your evaluation of the candidate's teaching for the*

“Evaluation of the Candidate” section below)

D. Candidate’s statement:

Include a statement by the candidate about his or her current scholarly, teaching and other academic activities and plans (clearly legible and not to exceed 5 pages).

**5(a). Evidence Gathered
General Requirements**

NOTE: Printouts of electronic mail communications are acceptable for inclusion in the file, although departments are encouraged to exercise care in safeguarding the confidentiality of such communications. In general, departments and schools should consider the balance between the potentially low level of security of electronic mail and the convenience of a rapid response.

| Appointment to the rank of: | Scholarship: usual number of letters | Comparative evaluations | Guidelines regarding scholarship | Teaching: usual number of letters | Guidelines regarding teaching | Other activities: usual number of letters | Guidelines regarding other activities |
|---|---|--------------------------------|---|--|--------------------------------------|--|--|
| Tenure line Associate Professor/Professor with tenure | 8-12 | a | b | c | d | e | f |
| Senior Fellow | 8-12 | a | b | e | g | e | f |

^a Must be comparative. Comparison set of **4-6** scholars.

^b All or most of the individuals in the comparison set should be scholars who would likely receive tenure at Stanford.

^c No separate referee letters required. If appropriate to the candidate's role, the number of undergraduate student letters should normally be between **6 and 12**. If the candidate is expected to direct graduate study, include names and dates of doctoral graduates for whom the candidate was the principal advisor and evaluations from those individuals wherever practicable. In addition, if applicable, evaluations should normally be sought from current doctoral students and postdoctoral fellows who are directly supervised by the candidate. These evaluations may take the form of letters, or they may be in the form of a summary of confidential conversations with a member of the evaluation committee.

^d Copies of all available standardized course evaluation summaries are required. Letters from students, results of peer reviews of teaching, transcribed comments from individual course evaluation forms, etc., may be submitted according to school practice. If student letters are used to evaluate teaching effectiveness, the department or school should take steps to assure an unbiased response by using a random sampling process to solicit evaluations. (For small courses and for individually supervised student projects, the entire set of students should be solicited for letters.) There should be a minimum of two follow-up requests to non-respondents. The department or school should document the process used to generate student letters, following the guidelines just described, and should include tallies of the number of letters requested and received.

^e No separate referee or student/trainee letters required.

^f Following usual school procedure, available assessments of other activities relevant to the candidate's intended role may be solicited simultaneously with scholarship assessments.

^g Teaching evidence is not expected; however, if teaching evidence is available and appropriate to the candidate's intended role, it may be included.

5(b). Referee Letters

Provide the following (in one or more attached sheets):

- A. A list of referees (determined through consultation between the department chair, if applicable, and dean) who were asked for evaluations, and a brief comment on the stature and competence of each to judge the candidate's work. Disclose any professional relationship of the referees with the candidate. *NOTE: Evaluations from internal referees may be submitted according to school practice.*
- B. A sample of the solicitation letter sent to referees and any follow-up correspondence. (See the following chart for guidelines concerning referee letters.) *NOTE: Refrain from having a mentor or co-investigator solicit referee evaluations.*
- C. A list of scholars in the comparison set. Include each named peer's highest degree, the year conferred and the academic institution from which he or she received it, his or her current title and institution, and a very brief description of his or her area of expertise.
- D. All external referee letters, declinations and any other correspondence with referees.
- E. All internal referee letters, declinations and any other correspondence with referees.

(Please save your discussion of the referee letters for the "Evaluation of the Candidate" section below.)

5(c). Student Letters

Provide (in one or more attached sheets):

All student/trainee letters, declinations and any other correspondence with students/trainees.

(Please save your discussion of these letters for the "Evaluation of the Candidate" section below.)

5(d). Teaching and Clinical Evaluations

Provide the following (in one or more attached sheets):

- A. Copies of all available standardized course evaluation summaries.
- B. If applicable, copies of all available forms or other instruments used to document clinical skills, with summaries of responses.

(Please save your discussion of these evaluations for the “Evaluation of the Candidate” section below.)

6. Evaluation of the Candidate

Provide the following (in one or more attached sheets):

- A. Describe how the recommended candidate was chosen from the pool of candidates assembled in the search. Include the search/evaluation committee's assessment of the candidate, if there is one.
- B. Discuss and evaluate the quality and promise of the candidate's performance to date in the areas of scholarship, teaching, clinical work (if applicable), and/or other pertinent aspects of his or her performance. Justify the appointment in light of the qualifications of the recommended candidate in relation to the entire pool of available candidates.

Deans and department chairs are reminded that consideration of appointment cases should include an account of the future of the department/division and/or school, which may include consideration of programmatic need.

Criteria (in general) in the Tenure Line:

The University recognizes that there are significant variations in how candidates qualify for and secure appointment, according to field and discipline. Scholars come from different backgrounds and receive different educational training. Nevertheless, all appointments have in common the requirement of excellence, however measured.

Excellence in both scholarship and teaching is an important prerequisite for a tenured appointment at Stanford because the University is dedicated to outstanding achievement in both. The purpose of the appointment evaluation is to appraise, on the basis of the record to date, the candidate's standing in his or her scholarly discipline (broadly defined) and the candidate's quality as a teacher. Decisions on initial appointment are subject to the exercise of scholarly and professional judgment and discretion by the University's departmental faculty and academic leadership.

1. **Scholarship:** The first criterion for a tenured appointment at Stanford is that the individual is the best scholar available at his or her level of professional development in the relevant field.

The candidate must have achieved true distinction in scholarship. The scholarship must clearly reveal that: (for the Associate Professor rank) the candidate is not only among the best in his or her experience cohort in a broadly defined field, but is also likely to become one of the very best in the field; or (for the Professor rank) that the candidate is one of the very best in the broadly defined field. In short, the judgment is comparative and (for the Associate Professor rank) predictive. It focuses on issues such as whether the candidate is performing the kind of innovative, cutting-edge research on important questions in the field that breaks new ground, changes the way the field is viewed, broadens our understanding of the field, or opens up new methods or new areas of investigation, and thereby has (or is likely to have) the fundamental impact on the field that is expected from the very best scholars in the field.

Factors considered in assessing research performance or promise include (but are not limited to) the following: scholarly activity and productivity; impact, innovation and creativity; recognition in the field; ability to work effectively as part of a research team (if relevant); effective communication with colleagues, staff and students; and professionalism, institutional compliance and ethics.

2. **Teaching:** The second criterion for a tenured appointment is a record of high quality teaching that clearly reveals that the candidate is capable of sustaining a first-rate teaching program during his or her career at Stanford. Teaching is broadly defined to include: the classroom, studio, laboratory, or clinical setting; advising; mentoring; program building; and curricular innovation. The teaching record should include undergraduate, graduate, and, if appropriate, postdoctoral instruction, of all types.

Factors considered in assessing teaching performance or promise include (but are not limited to) the following: knowledge of the material; clarity of exposition; positive style of interaction with students; availability; professionalism, institutional compliance and ethics; effective communication skills; helpfulness in learning; and ability to stimulate further education.

3. **Clinical work:** Excellence in clinical practice or clinical care is a requirement for those candidates (such as in the School of Law or in the School of Medicine) whose duties include such practice. Factors considered in assessing clinical performance include (but are not limited to) the following: clinical knowledge; clinical judgment; procedural skills (if relevant); clinical productivity; clinical outcomes or results; professionalism, institutional compliance and ethics; humanism; ability to work effectively as part of the clinical team; and effective communication with colleagues, staff, students, and patients or clients.
4. **Other activities:** In judging candidates for reappointment or promotion whose work involves creative writing, dramatic or musical composition or performance, works of art, and the equivalent, appropriate criteria are to be defined and applied. In general, the judgment of teaching quality for these faculty should follow procedures applicable to all faculty.
5. **Service:** Candidates for appointment in the tenure line are primarily assessed on the basis of their achievements in the areas of scholarship and teaching, as noted above. Service (including what might be called institutional citizenship), although relevant, is not a primary criterion.
6. **Uniqueness of function:** Uniqueness of function is not, in and of itself, a criterion for an appointment. The fact that a candidate is the only available individual teaching in a specific area or doing scholarship on a certain subject is not relevant to the process of judging the quality of teaching and scholarship and is not determinative in the decision to appoint the candidate. Furthermore, a department's faculty and/or the dean (and, similarly, the Provost, Advisory Board and/or President) may on occasion decide that a candidate does not warrant an appointment even though that person may be the best available within a field. That is, the reviewing group or individual may decide that the best available candidate in a weak or overly narrow professional field should not be appointed to a position at Stanford.

Deans and department chairs must try to avoid such situations by ensuring that initial searches and appointments are made in areas in which the quality of scholarship is relatively strong, and in which the subject area is sufficiently broad. If teaching needs exist in potentially weak areas, then non-faculty appointments should be considered until that field improves or a strong candidate in it emerges.

7. **Career trajectory:** For an initial appointment as a tenured **Associate Professor** or tenured **Professor**, the department or school is expected to follow especially rigorous screening and evaluation processes. For an appointment at the level of tenured **Professor**, it is expected that the candidate's qualifications will be more advanced than those for a tenured **Associate Professor**.

Additional information for particular ranks and lines:

8. Candidates for appointment as **Senior Fellow** have a different institutional role than the tenure line professoriate. Nevertheless, they are reviewed in the same fashion as tenure line Professor appointments and evaluated (in general) by the same standards with respect to research. Even though the candidate may be expected to provide pedagogical contributions, he or she is not evaluated by the same standards with respect to teaching. Appointments to this rank are contingent on continued programmatic need and program funding. (For Senior Fellow appointments of faculty with pre-existing primary appointments in academic departments, follow the procedure described in the Faculty Handbook, Chapter 2.

7. Department or School Approval

Provide the following (in one or more attached sheets):

- A. Discuss any reservations that may have been expressed concerning the candidate and how they have been resolved.
- B. Describe the departmental voting practice.
- C. Was this voting practice employed for this recommendation?
- D. Did all members of the group(s) have an opportunity to vote on this recommendation?
- E. Summarize the vote. If the vote was not unanimous, please explain.

APPENDIX C
RECOMMENDATION FOR AMENDMENT OF PROFESSORIAL APPOINTMENT

This form should be used to recommend the following amendments to professorial appointments: courtesy appointments, additional appointments, changes in primary department appointments, recall of emeritus faculty members, changes in percent time of appointments and reappointments for administrative reasons.

PLEASE PRINT ON BLUE PAPER.

Name: _____

Current Academic Title: _____

Department(s): _____ School(s): _____

RECOMMENDED AMENDMENT:

[] Appointment to additional department: _____

[] Change in primary department: _____

[] Change in percent time of appointment: from _____% to _____%

[] Change of appointment dates: Start date from ___/___/___ to ___/___/___ and (if applicable)
End date from ___/___/___ to ___/___/___

[] Courtesy appointment in department/school: _____

[] Reappointment due to approved new parent extension (include new tenure and appointment clock calculations)

[] Reappointment due to concluded approved leave without salary

[] Reappointment for other reason (attach relevant correspondence, including evidence of candidate counseling, future plans and expectation for subsequent review or notice of non-renewal)

[] Recall of emeritus faculty to active duty _____% time of appointment

[] Removal of "Subject to Ph.D." notation from title (attach documentation regarding completion of all degree requirements)

[] Terminal reappointment (attach relevant correspondence)

FACULTY APPOINTMENT INFORMATION AFTER AMENDMENT:

Billet/Position(s): Primary billet/position # _____ % FTE _____
Joint billet/position # _____ % FTE _____
Secondary billet/position # _____ % FTE _____

Appointment Dates: Start date _____ End Date _____ Without limit of time []

APPROVAL:

Department Chair: _____ Date: _____

School Dean's Office: _____ Date: _____

New/Secondary/Courtesy: _____ Date: _____

School Dean's Office: _____ Date: _____

Provost's Office: _____ Date: _____

APPENDIX D

RECOMMENDATION FOR APPOINTMENT LECTURERS, OTHER TEACHING STAFF AND APPOINTMENTS (BY COURTESY)

This form is for appointments as Lecturers or as Visiting Lecturer; Acting, Visiting, Consulting, and Clinical Assistant Professors, Associate Professors, and Professors; Acting, Visiting and Clinical Instructors; and appointments (By courtesy).

Use Appendix E for Senior Lecturer and Artist-in-Residence appointments.

TO THE PROVOST:

Recommendation for: appointment reappointment promotion

Name: _____ Title: _____

Department/School: _____

Dates of appointment: start date: _____ end date: _____ continuing term

Percentage of time, if applicable: _____

Salary: _____

Biographical Information:

Social Security number: _____ Birthdate: _____ Gender: M F

Birthplace: _____ Citizenship*: _____ Ethnicity: _____

Current position: _____

For school use: Attach a curriculum vitae which lists educational background, academic and professional experience, major publications, and achievements relevant to this recommendation.

* For candidates who are not U.S. citizens or permanent residents, contact the Bechtel International Center for information regarding visa arrangements.

Approval:

Program Director/Chair: _____ Date: _____

_____ Date: _____

Dean's Office: _____ Date: _____

Provost's Office: _____ Date: _____

Intended Role

Circumstances which warrant this appointment:

Candidate will substitute for faculty member on leave. (Give name and leave status.)

This is an interim appointment while search is ongoing. (Give position.)

Candidate possesses expertise not otherwise available in the department/school.

Other (Specify)

Courses which candidate is expected to teach:

Other responsibilities in department/school in addition to or instead of teaching:

Describe available evidence of the candidate's teaching ability (if applicable):

APPENDIX E

RECOMMENDATION FOR APPOINTMENT AS SENIOR LECTURER OR ARTIST-IN-RESIDENCE

This form is for appointments as Senior Lecturer or Artist-in-Residence only.
(See Faculty Handbook, Chapter 6 at <http://facultyhandbook.stanford.edu/ch6.html>)

Use Appendix D for Lecturer; Acting, Visiting, Consulting, and Clinical Assistant Professors, Associate Professors, and Professors; Acting, Visiting and Clinical Instructors; and appointments (By courtesy).

TO THE PROVOST: appointment reappointment promotion

Name: _____

Title: _____

Department/School: _____

Dates of appointment: start date: ____/____/____ end date: ____/____/____ continuing term

Billet Information

If an incremental position is to be created with this appointment, prior approval by the Provost is needed.
Attach correspondence regarding billet for the position for which the candidate is recommended.

Billet Number: _____ FTE: _____%

Biographical Information:

Social Security number: _____-_____-_____ Birthdate: ____/____/____ Gender: M F

Birthplace: _____ Citizenship*: _____ Ethnicity: _____

Current position: _____

* For candidates who are not U.S. citizens or permanent residents, contact the Bechtel International Center for information regarding visa arrangements.

Approval:

Program Director/Chair: _____ Date: _____

_____ Date: _____

Dean's Office: _____ Date: _____

Provost's Office: _____ Date: _____

(Provost)

Approved for recommendation to the President by the Advisory Board (continuing term only):

_____ Date: _____

(chair of Advisory Board)

Attach a curriculum vitae which lists educational background, academic and professional experience, major publications, and achievements relevant to this recommendation.

INTENDED ROLE

The title Senior Lecturer is associated with a demonstrably higher level of responsibility and teaching excellence than that of a Lecturer. Attach a statement explaining the programmatic reasons which warrant the appointment and the recommended rank. Describe the specific role that the candidate is expected to fill. Also, describe other responsibilities in department/school in addition to, or instead of, teaching. These may include, but are not limited to, supervising lecturers and graduate student assistants, significant advising or coordinating activities, and planning and overseeing the teaching, by self and others, of an entire curriculum of study.

SEARCH PROCESS (For New Appointments Only)

Describe the search process that led to this recommendation. Include the following:

- A. A list of the members of the search committee.
- B. Describe the method of search (e.g., names of institutions contacted, method and extent of advertising, if applicable). A list of all outside sources, along with samples of letters sent to such sources requesting information and/or nominations of possible candidates. Include all responses in which the recommended candidate is discussed. A waiver of search must be approved in advance by the Provost,
- C. A description of the affirmative action aspects of the search.
- D. Using the applicant pool grid, provide a summary of the total number of applicants for the position and the number of women and members of ethnic minority groups who applied. If these numbers cannot be precisely determined, explain. If possible, compare the composition of the candidate pool with the availability pool data for the discipline (this information may be obtained from your Dean's Office).
- E. Outside sources consulted for information, and evaluation of possible candidates should be listed. Candidates seriously considered should be listed in order of priority. If the recommended candidate was not the first choice, the recommendation should include an explanation of the priority.

TEACHING

Describe the kinds of teaching expected of the candidate and provide specific evidence of the candidate's teaching performance in those areas, including teaching evaluations and letters of recommendation from students. If the candidate is presently at Stanford, the evaluation should include a summary of teaching commitments for the period of time that the individual has taught at Stanford (up to three years) with course titles and numbers, units and enrollments.

EVALUATION OF THE CANDIDATE

Seven to ten faculty non comparative evaluations from within Stanford and/or from other institutions should be provided. Outside letters may not be necessary if the internal ones are more appropriate for a particular candidate and the work s/he has done and will do if appointed Senior Lecturer. Faculty may comment not only on the candidate's teaching, but also on her/his other professional activities, either within or outside of Stanford (for example, noting how the candidate's professional expertise may enhance her/his teaching role).

DEPARTMENT APPROVAL

- A. The candidate must be reviewed by a departmental committee consisting of no more than 6 individuals, no fewer than 3 of whom must be Academic Council members. (There may be members of the committee who are not from the department, depending on the circumstances of the candidate's expected role and the nature of his/her accomplishments.)
- B. A description of the evaluation and approval process that occurred in the department.

Request for New Parent Tenure Clock Extension for Tenure-line Academic Council Faculty &

Request for New Parent Appointment Extension for Non-Tenure-Line Academic Council and Medical Center Line Faculty

(See Sections 2.1.D(2) b and 2.5.C of the Faculty Handbook for the full text of the New Parent Extension policies: <http://facultyhandbook.stanford.edu>)

TO BE COMPLETED BY THE FACULTY MEMBER: *Please fill out this form and submit it to your Department Chair for approval (or in the case of Schools without departments, to your School Dean's Office)*

Name: _____

Title: _____

Department/School: _____

Date of birth or arrival of child: _____

Signature: _____ Date of Request: _____

TO BE COMPLETED BY THE DEPARTMENT: *Please submit the completed New Parent Extension form along with a Recommendation for Amendment of Professorial Appointment form (Appendix C) to the Dean's Office to request an extension to the appointment.*

Date Received: _____ Department Chair Signature: _____

TO BE COMPLETED BY THE SCHOOL DEAN'S OFFICE:

Date Received : _____

End date of current appointment: _____

Extension Date (NTL/MCL only): _____

Previous final date of time toward tenure by length of service (TL only): _____

New final date of time toward tenure by length of service (TL only): _____

Approved: _____ Date: _____

cc: *Faculty member, Department chair, Dean's office*

Application for Reduced Teaching or Clinical Duties for New Faculty Parents

Name: _____

Title: _____

Department: _____

School: _____

Estimated date of birth or arrival of child: _____

For adopted children, age at adoption: _____

Start date of requested reduced teaching or clinical load: _____

End date of requested reduced teaching or clinical load: _____

List the courses you would normally teach during the period of reduced teaching:

For clinical faculty: Specify the 90-day period of reduced clinical duties being requested:

For clinical faculty: Specify the clinical duties you would normally have during the period of reduced clinical duties:

Eligibility under this policy is different from (and more limited than) eligibility under the policies for new parent tenure clock and appointment extensions. A faculty member using this reduced teaching and clinical duties policy would normally be the sole care giver for at least twenty hours during the work week during the hours from 8 am to 7 pm, Monday through Friday; this policy is not intended for parents whose newborn or newly adopted child is cared for more than half-time by either a spouse/partner and/or a child-care provider. Estimated number of hours per week (M-F, 8 am to 7 pm) during which the child will be in your sole care; indicate other proposed childcare arrangements, if any:

Date: _____ Approved: _____
DEPARTMENT CHAIR

Date: _____ Approved: _____
SCHOOL DEAN'S OFFICE

Date: _____ Approved: _____
SECONDARY/JOINT DEPARTMENT CHAIR

Date: _____ Approved: _____
SCHOOL DEAN'S OFFICE

**STANFORD UNIVERSITY
NOTICE OF INTENT TO RETIRE
and
APPLICATION TO PARTICIPATE
IN THE FACULTY RETIREMENT INCENTIVE PROGRAM (FRIP)**

To:
Chair/Director: _____

Department/Program: _____

Dean: _____

School: _____

I hereby give notice of my wish to retire from Stanford University, effective at the end of the day on _____ (my "Retirement Date").

I hereby apply to participate in the Faculty Retirement Incentive Program (the "Program"). I understand that, upon confirmation of my eligibility to participate and written acceptance by the Provost of an Agreement and Release signed by me, I will become entitled to payment of benefits under the Program, but only if I remain employed by Stanford University continuously through my Retirement Date and satisfy such other conditions for the payment of benefits as may be required under the Program and such additional terms and conditions, if any, as may be imposed by agreement with the Dean.

Signature: _____

Date: _____

Print Name: _____

Title: _____

Approved and Recommended: _____
Chair/Director Date

Approved and Recommended: _____
Dean Date

Retirement and participation in the Program is subject to approval by the Provost.