

INSTRUCTIONS

The following instructions provide guidance for preparing all appointments, reappointments and promotions to the Stanford Professoriate. Various schools may also have school specific policies and practices that must be followed. Those carrying out faculty searches are urged to consult their dean's office for guidance. Users of this form should also review Chapter 2 of the Faculty Handbook [\[link\]](#) for University policies and practices relevant to faculty appointments.

This form should be used for the following actions:

- Assistant Professor (Subj. to Ph.D.) (term appointment)
- Szegö Assistant Professor (term appointment)
- Assistant Professor (term appointment or reappointment)
- Associate Professor (appointment, reappointment with or without tenure, promotion with or without tenure)
- Professor (appointment with or without tenure, reappointment with or without tenure, promotion with or without tenure)
- Assistant Professor (Research) (appointment, reappointment or promotion)
- Associate Professor (Research) (appointment, reappointment or promotion)
- Professor (Research)(appointment, reappointment or promotion, term or continuing term)
- Associate Professor (Teaching)(appointment, reappointment or promotion)
- Professor (Teaching)(appointment, reappointment or promotion, term or continuing term)
- Senior Fellow in a designated policy center or institute (appointment, reappointment or promotion, term or continuing term)
- Assistant Professor (Medical Center Line)(appointment or reappointment)
- Associate Professor (Medical Center Line)(appointment, reappointment or promotion)
- Professor (Medical Center Line)(appointment, reappointment or promotion, term or continuing term)

Curriculum Vitae/Candidate's Statement

Provide the following information in a dated curriculum vitae:

1. 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)
2. Employment history. List all academic and non-academic positions. List any Stanford faculty appointments using a dd/mm/yyyy format.
3. Public and professional service.
4. Post-degree honors and awards, if any. Include major invited papers and addresses, memberships in professional associations and learned societies, etc. A list of funding may be included depending upon school practices, but all monetary amounts should be redacted.
5. 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. and media such as software, videos, etc.

Suggested Best Practices

- Attempt to keep CV's to a reasonable length. For abstracts, invited talks, etc., it is acceptable to indicate the total number and then provide a sample list of 5 recent or key items

Provide, as applicable, a Candidate's Statement of no more than three single-spaced pages (12-point font). There is no prescribed format for the candidate's statement, though ideally such statements will touch on all aspects of the candidate's proposed roles.

Suggested Best Practices

- The candidate's statement may be split into a two page research statement and one page teaching statement

Narrative Report on the Candidate and Votes

The narrative report on the candidate should include a description of the candidate's roles and an assessment, based on the evidence gathered for the file, of the candidate's qualifications and suitability for the position.

Descriptions of candidate's scholarship should be written in lay language understandable to a Stanford faculty member outside the candidate's field. If appropriate, include contextual factors such as history of and/or current schools of thought in the field; and authorship practices in the discipline such as degree of collaboration or special publication practices. Indicate the author(s) of this report. Use single-spacing and 12-point font.

Description of teaching role may include curricular or pedagogical innovations, and a list, on a separate page, of courses and/or advisees if such information is not already included in curriculum vitae.

Best Practices

- Be succinct. Special circumstances and issues requiring fuller explanation may be included in cover memoranda from the chair and/Dean if necessary
- Avoid extensive quoting of referee letters. Such quoting is viewed as redundant by downstream evaluators who read the letters carefully.
- DO address significant reservations raised in the review meetings and/or negative feedback in the referee letters, trainee letters, or quantitative evaluations.
- If there are negative votes and/or abstentions at the department or school level, provide explanation if known.

Searches and Search Waivers [New Appointments]

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.

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 this statement:

"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, members of minority groups, protected veterans and individuals with disabilities, as well as from 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 from the Faculty Development and Diversity office found at <http://facultysearch.stanford.edu/>.

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

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.

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.

Additional notes regarding search committee member recusal

Search committee members should take care to be attentive to any conflict of interest or possible perception of conflict of interest with regard to the candidate. Reasons for recusal include a spousal or other family relationship with the candidate, collaboration (other than minor) on research, membership in downstream review committees that may see the file, and having written a letter for the file. If in doubt concerning a recusal, committee members should consult the committee chair, department chair or Dean, or Office of Faculty Affairs.

Evaluation Process [Candidates already appointed at Stanford]

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. Inclusion of Evaluation Committee members below the proposed rank of the candidate should be accompanied by an explanation. Mentoring or collaborative relationships should be explicitly called out.

Additional notes regarding evaluation committee member recusal

Evaluation committee members should take care to be attentive to any conflict of interest or possible perception of conflict of interest with regard to the candidate. Reasons for recusal include a spousal or other family relationship with the candidate, collaboration (other than minor) on research, membership in upstream review committees that may see the file, and having written a letter for the file. If in doubt concerning a recusal, committee members should consult the committee chair, department chair or Dean, or Office of Faculty Affairs.

Suggested Best Practices

- Sample Notification Letter to Candidate [LINK]
- Candidates should be asked for no more than three recommendations for possible referees

REFEREE LETTERS

The following guidelines for solicitation of referee letters should be followed. 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.

The guidelines are organized by action, rank and line as follows:

New untenured 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 Designated Policy Institute
- MCL Associate Professor and Professor

Suggested Best Practices

A chart showing how peers were compared by referees to the candidate (if applicable/ according to school practice). If the school has not adopted this chart, please ensure that a discussion of peer comparisons, as applicable, appears in the Narrative Report on the Candidate:

Referee		Peers					

Key:

+ Above peer

- Below peer

= Equal to peer

Blank No specific comparison or unable to compare

=/- Above in some areas, below in others

O Omitted due to same institution or referee also a peer

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)

Best Practices:

If, as in most cases other than new Assistant Professor appointments, letters are solicited rather than supplied by the candidate, the list of referees should be determined through consultation between the department chair, if applicable, and the dean.

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. Avoid language that could be construed as leading.

A minimum of two follow-up requests should be sent to non-respondents.

TRAINEE LETTERS

Best Practices

- All direct primary graduate advisees of the candidate should be solicited for letters.
- Trainees should generally be solicited using a randomizing method
- Some trainees may prefer for reasons of confidentiality to convey feedback via phone or video conference. Summaries of such feedback are acceptable.

TEACHING AND CLINICAL EVALUATIONS

Counseling

Counseling memoranda should be provided for all reappointments and promotions, except for reappointments or promotions conferring tenure. For reappointments or promotions conferring tenure, counseling memoranda are optional and at the discretion of the Department Chair or Dean.

Provide a draft counseling memorandum to be provided to the candidate following the President's approval of the action. Such counseling should address the candidate's performance and make recommendations for improvement as applicable. Include full text of criteria for future advancement, if applicable.

Best Practices

- [Sample Counseling Memorandum \[LINK\]](#)

[Additional guidance regarding counseling for junior rank candidates for reappointment.](#)

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.

Additional guidance on counseling for candidates being promoted or reappointed conferring tenure or continuing term

A counseling memo is not required with these actions. 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.

Additional guidance on counseling for candidates being promoted or reappointed who already hold tenure or a continuing term

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.

Appendices

Provide appendices as applicable.