

APPOINTMENTS: FACULTY AND RESEARCH
Supplemental Instructions 2008-09

University policies for faculty appointments are presented in the Faculty Handbook, Chapter 3 (<http://www.case.edu/president/facsen/frames/handbook/CASEFH2006.pdf>). Please review that information carefully. These instructions are supplemental to those policies; please read this document carefully as well. All forms, policies, guidelines, samples, etc. mentioned herein are available on the college's web site (<http://www.case.edu/artsci/forms/>).

Documentation for any tenure-track faculty appointment, any non-tenure-track faculty appointment (as defined by the Faculty Handbook), or any appointment to the rank of research professor or research associate professor, should be delivered to Cynthia Stilwell. Documentation for all other faculty appointments, or for any research appointment other than those noted above, should be delivered to Denise Donahey. All required documentation must be included in the finalist's file. All procedural requirements must be satisfied before an appointment can be offered. By policy of the university, official letters of appointment for all faculty and research ranks in the college are issued only by the dean.

Procedures for Faculty Searches

The dean grants permission for a tenure-track faculty search in a memo which also provides general guidelines for the process and specific information on spending limitations. Once a search for a tenure-track faculty member has been authorized, the department is encouraged to establish a search committee, and to consider including members from other departments or units, and from Case's affiliated institutions. Non-departmental members may vote during the search phase, but will not necessarily vote on subsequent rank and tenure decisions. In some cases (especially for small departments), a separate rank and tenure committee will be constituted by the dean that includes A&S non-departmental members. The chair is to consult with the dean on the makeup of any search and/or rank-tenure committee.

The role of any search committee, whatever its composition, is to locate qualified scholars, review applicant files, and engage in detailed consultations with department members and other relevant constituencies throughout the university and affiliated institutions. During any faculty search, search committee members and department faculty shall conform to standard principles of confidentiality. They are urged to bring the position announcement to the attention of qualified candidates, but they may not discuss with a potential or actual candidate any details of the search—its progress, the status of the candidate, other candidates, judgments of candidates individually or in the aggregate, or any other matter having to do with the internal information, constitution, disposition, or activities of the search committee. Only the chair of the search committee and, at the appropriate stage, the dean may communicate with candidates about the search.

Prior to beginning a search, the chair of the department and chair of the search committee should collaborate to develop a plan for attracting a diverse pool of applicants. They are to consult with the Office of the Dean and the university Faculty Diversity Officer on the development of such a plan.

Advertisements must be approved by the dean and have Affirmative Action approval from the Faculty Diversity Officer prior to being run. It is important to note that any subsequent hire of a non-US national is likely to carry the requirement that evidence of printed ad can be supplied. For this reason, departments are urged to place advertisements in printed media as well as in electronic format. Text for

all faculty ads should include the job rank/title; information on the position status, i.e., tenure-track or non-tenure-track; description of the research and teaching qualifications as appropriate; duties (teaching load, advising, etc.). It is also important to include a date by which submitted applications will receive full consideration, as well as a postal address for non-electronic responses. Finally, the Faculty Diversity Officer can provide the appropriate required statement to meet EEO and ACES requirements.

Electronic distance conferencing is a useful instrument for casting a wide net in the search. It can be used to increase diversity in the pool of applicants, and is especially useful for connecting with applicants who live in other countries or who may not attend conferences that serve as interview sites. Moreover, it provides an instrument by which search committees can have extended discussions with semifinalists before arriving at a list of finalists for campus visits. Thomas Knab, the college's Chief Information Officer, can provide assistance with arrangements for distance conferencing. Search committees are encouraged at a minimum to ensure that their members have an extended conversation with each semifinalist during the semifinalist stage. As long as all candidates who have succeeded to a particular stage are treated similarly, there is flexibility in how this conversation is framed. It may be described as an interview, but also may be described as a conversation about the candidate's dissertation or most recent work.

For each authorized search, up to three semifinalists may be identified as final candidates. Campus visits for more than three candidates must have prior approval of the dean. Before issuing any invitation for a campus visit, the chair of the search committee is to send the dean (via email) a detailed account of the committee's efforts to date; the short list of three suggested final candidates, presenting their qualifications and explaining how each would contribute to the vision and goals of the department, the college, and the university; and the department's initial ranking preference for the three candidates. The memorandum should also discuss the department's affirmative action efforts. If the short list does not include at least one minority or female semifinalist (or at least one male semifinalist, in fields where women predominate), the dean will explore with the chair the committee's affirmative action strategies, the nature of the pool, etc., and may request additional efforts to diversify the list of candidates before authorizing invitations for campus visits. Please refer to the paragraphs labeled "Affirmative Action" later in this document.

Each finalist for a tenured or tenure-track position is to have an interview with the dean or his designate. Please contact Cynthia Stilwell at the earliest possible time to schedule all candidate interviews.

An unsuccessful search must be officially closed via a memo to the dean and the Faculty Diversity Officer. (The latter shall also receive all appropriate search forms, completed by the department or special committee.) A search may be relaunched with the dean's authorization.

Conducting Negotiations with Finalist

It is important to note that authorization to search does not constitute authorization to make an offer. A binding offer of a position to any finalist is made only by the dean in the form of an official letter of appointment. In order to reach that point, it is expected that a great deal of consideration and discussion will take place between the finalist and the chair, and between the chair and the dean. Throughout this phase, it is paramount that the chair clearly maintains the understanding with the finalist of being in a position only to make a *recommendation* to the dean on matters of salary, start-up expenses, etc. On an as-requested basis, the dean may prepare a Letter of Intent once the *final* salary and start-up figures have been reached. This document states the rank, tenure status, and department affiliation of the expected official offer as well as information on the start date, salary, start-up funds, relocation procedure, and the required steps in the university process before an official letter of appointment can be issued.

External Letters of Evaluation

Please refer to the *Appointment Procedures—Required Documents* chart to determine the number of evaluation letters required for each appointment. All letters should be current—that is, no more than one year old. For tenure-track appointments at the rank of associate professor or professor, the chair shall submit to the dean a list of potential external evaluators, distinguishing between those suggested by the finalist and those suggested by the department. (Names from both sources should be included.) The chair may recommend names as the top choices and recommend others as alternates. The dean will notify the chair of the approved names.

Letters sent to potential external evaluators should clearly state the rank or tenure status for which the finalist is to be considered. A form for listing the names of all approved external evaluators and a sample letter that includes a required statement on confidentiality are available on the college's website (<http://www.case.edu/artsci/forms/>).

All of the evaluators approved by the dean shall be solicited and listed in the candidate's file, not just those who respond. It is the chair's responsibility to monitor the receipt of letters and seek approval of additional names as necessary. When submitting the file, at least half of the external letters must be from completely independent evaluators. Each of the external evaluator letters should be accompanied by biographical information of 200 words or less describing the importance and relevance of the external evaluator. The purpose of the biographical information is to help file reviewers discern the candidate's independence from the evaluator and the evaluator's qualifications to judge the candidate's accomplishments. Often this information is available from the evaluator's personal or institutional website.

Letters from Teaching Evaluators

For tenure-track appointments at the rank of associate professor or professor, evidence of teaching effectiveness must be included in the file. The significance and effectiveness of a candidate's role in instruction, course design, or curriculum development should be conveyed through a combination of sources, including the candidate's narrative statement on teaching; statistical data from course evaluations; and letters from students and others able to comment on the candidate's teaching abilities.

Current or former students may be selected by the candidate and at random by the department or special committee chair from the candidate's class rosters and asked to provide a letter of evaluation. If a candidate's major educational contributions occur in a venue that does not lend itself to standardized evaluation, comments from faculty colleagues and past trainees are of paramount importance in documenting teaching performance. Such evaluations also may help to augment standard teaching evaluations.

A sample letter requesting an evaluation of a candidate's teaching is available at <http://www.case.edu/artsci/forms/>. Each letter of request must clearly state the academic rank or tenure status for which the candidate is being considered, and it must include a statement on confidentiality. All those who were asked to provide an evaluation should be listed in the file, not just those who responded. The list should provide names; other identifying information (Social Security numbers, student ID numbers) should not be included.

Course Evaluations

For tenure-track appointments at the rank of associate professor or professor, a narrative overview of statistical data from course evaluations shall be included in the file. Individual statistical data sheets should be kept on file in the department office and made available to the appropriate evaluating body if requested.

Faculty Vote and Chair's Evaluation

A file should be complete prior to departmental or special committee review, discussion, and vote. In accordance with the procedures outlined in the Faculty Handbook, a record of the discussion and vote is required for *any* new faculty appointment. (This includes secondary and adjunct appointments at senior-level ranks.) For tenure-track appointments at the rank of associate professor or professor, please note that separate votes should be taken on faculty rank and on award of tenure. The chair should prepare a memo with a thorough summary of the discussion in the areas of research, teaching, and service as appropriate and provide a vote count (for, against, and abstain) that matches the number of eligible voting faculty (see below) including the chair. Eligible voting faculty members should be given the opportunity to review the memo in draft form. Signatures of the voting participants may be provided but are not required. A participating faculty member who feels that the memo does not present a thorough and accurate description of the discussion may submit a letter to the dean in accordance with instructions in the Faculty Handbook.

Abstentions

The provost has informed us that unwillingness to cast a vote in the affirmative will be construed as a lack of endorsement, thus, *an abstention is interpreted as a negative vote*. Members of a deliberating body should disqualify themselves prior to discussion on any candidacy on which they believe they should not cast a vote. The reason for disqualification should be explicitly stated in a note that is signed by the faculty member. A faculty member who has recused himself or herself is not classified as a potential voter on the case and, thus, does not count as an abstention. An abstention is recorded only if an eligible voter elects not to cast an affirmative or negative vote after deliberating.

Appointment Form

Each appointment requires a completed *College of Arts and Sciences Appointment Form*. If an appointment (at whatever rank) involves teaching responsibilities, then the file must include at least two evaluation letters that specifically address the finalist's qualifications for teaching the assigned class(es). Verification of the highest degree earned is required for all faculty appointments. The section entitled "Justification for the Appointment" must explain why the appointment is necessary and what the duties of the finalist will be.

A request for a temporary teaching appointment must be received in the dean's office no later than five weeks prior to the start of the semester in question (see dates at the end of this document). Late requests may be considered in cases involving faculty illness, a late faculty resignation, or the addition of sections as a result of unexpectedly high enrollments. University policy states that no one is to teach without a fully executed letter of appointment.

Salary levels must be approved by the dean prior to discussion with a finalist. In accordance with IRS regulations, no agreement for teaching duties (new or continuing) may be entered into with a retired faculty member without prior approval by the provost.

New Appointment Cover Sheet

This form must accompany any appointment file for the ranks of associate professor, professor, research associate professor, or research professor. Files are to be submitted in electronic format to the dean's office. Incomplete files will be returned.

New Faculty Start-up Checklist

This form should be prepared by the department chair (in consultation with the finalist and the dean), and will be used to document the various start-up needs for a finalist for a tenure-track faculty position. Final approval will be issued by the dean.

Vote Tally

Use this form to record the votes for promotion and/or tenure for tenure-track appointments at the ranks of associate professor or professor. Each action requires a separate vote. The total number of votes recorded must match the number eligible to vote. See the sections entitled *Faculty Vote* and *Abstentions*, above.

Certification of Academic Degree

Please refer to the *Guidelines for Appointment of Tenure-Track Faculty Prior to Completion of the Terminal Degree* on the college's website (<http://www.case.edu/artsci/forms/>). Proof of the terminal academic degree (e.g., Ph.D. or M.F.A.) is required for most faculty appointments. The preferred form of proof is an official transcript from the registrar's office of the degree-granting institution, verifying the highest degree earned. However, a letter from the dean of graduate studies of the degree-granting institution, stating that all requirements for the degree have been completed, is also acceptable. A diploma or a copy thereof is NOT considered acceptable certification.

Research Appointments (other than Research Faculty Appointments)

Please ensure that the years of experience and the recommended salary are appropriate for the rank. The dean's office will not routinely check the availability of funding for a research appointment. It is assumed that, in signing the paperwork, the department chair is certifying that sufficient funding is available.

Secondary and Adjunct Appointments

New secondary and adjunct appointments, or promotions for those holding such appointments, require a new appointment form, an updated c.v., a vote of the eligible department faculty (for appointments at senior ranks only), and a letter of justification from the requesting department chair. A letter of endorsement from an individual's primary department chair or dean is required for a secondary appointment.

If an individual with a secondary appointment is enlisted to teach a course in the college, the primary department chair or the dean (for a school without a departmental structure) must approve the instructional effort and transfer of funds.

Joint Appointment

Please consult the Faculty Handbook for instructions on this procedure. A list of required documents is available from either the dean's office or the provost's office.

Transfer of Academic Appointment

Please consult the Faculty Handbook for instructions on this procedure. A list of required documents is available from either the dean's office or the provost's office.

Reappointments

Contracts for tenured, tenure-track, and non-tenure-track faculty for the next academic year are issued prior to commencement in May. For visitors, lecturers, and those holding a non-faculty research rank, reappointment requires a new *Appointment Form*. All affirmative action requirements must be met prior to submission. The positions of full-time lecturers and visitors are considered temporary; only under extraordinary circumstances are these appointments renewed beyond the prearranged year(s). In the spring, the dean's office will distribute to each department chair a list of individuals currently holding secondary and adjunct appointments in their respective department. Each chair is to review the list and authorize reappointments.

Affirmative Action

Please contact the Faculty Diversity Officer or the university AA/EEO Director as appropriate for up-to-date forms and instructions. Note that all full-time appointments—including reappointments and those for visiting faculty—require periodic affirmative action approval. (See required documents chart.) The appropriate Affirmative Action approval documentation must be included in the appointment materials delivered to the dean's office.

Forward the required forms and an up-to-date c.v. to the appropriate AA/EEO officer as soon as possible. PLEASE NOTE: The memo confirming that the finalist has accepted the position is completed by the department and returned to the appropriate AA/EEO officer **AFTER a fully executed letter of appointment (signed by both the dean and the finalist) is received by the department.**

Appointment of Non-U.S. Citizens/Residents

Please contact the Office of Foreign Faculty and Scholars for up-to-date forms and instructions. Because the immigration process can be quite lengthy, departments are encouraged to submit paperwork and any fee(s) as early as possible.

Appointment files (submitted in electronic format) are due in the dean's office:
November 30 (for Spring 2009)
April 15 (for Summer 2009)
July 15 (for Fall 2009).

Related Documents:

Required Documents for Faculty and Research Appointments

Appointment Form

New Faculty Start-Up Checklist

New Appointment – Cover Sheet

New Appointment – Vote Tally

New Appointment – Sample Letter to Teaching Evaluators

New Appointment – Sample Letter to External Evaluators

New Appointment – List of Teaching Evaluators

New Appointment – List of External Evaluators

Guidelines for Appointment of Tenure-Track Faculty Prior to Completion of the Terminal Degree

Guidelines for Selection of External Evaluators for New Appointment, Promotion, and/or Tenure Cases

Review Process for Transfer of a Faculty Appointment within the College of Arts and Sciences

Guidelines for Graduate Students as Instructors of Record

Faculty Titles and Definitions for Non-Tenure-Track Faculty Members

Descriptions of Research Positions

Policies and Procedures for Research Faculty Appointments