

**Proposal to Change *Faculty Policies and Procedures* to  
Specify Support for Joint Appointments**

*4 November 2019: The Faculty Senate passed a motion to substitute “tenure home” with  
“administrative home” in the text.*

A number of incidents and discussions over recent months have raised concern about how well our campus supports faculty with joint appointments, particularly assistant professors. Working with the Vice Provost for Faculty and Staff and with the Office of the Secretary of the Faculty, the University Committee has developed some recommendations on changes to *Faculty Policies and Procedures* that would bolster mentoring and oversight for jointly appointed faculty, as indicated below. In addition to modifying *FPP*, the UC will work to develop guidance for deans and chairs on joint appointments, including best practices and guidelines on appointment letters, mentor committees, review processes, and on what information to provide to divisional committees and outside evaluators in order to appropriately assess interdisciplinary work.

The role of appointment letters is crucial for all faculty, but particularly for those with appointments spanning more than one department. In these letters, the following information needs to be clearly specified:

- composition of mentoring and/or oversight committees, specifying how many representatives from each department will be included;
- the sequence and prioritization of votes and decisions across departments, i.e., where ultimate decisions lie (see 7.05 C below); and
- how the appointment terms could change over time.

Proposed revisions (with markup)

7.02. DEPARTMENTAL ROLE.

Faculty appointments may be granted only upon affirmative recommendation of a departmental executive committee as provided in Chapter 5, except in the specific situation provided for under UWS 3.08(3) and 7.10. of these Faculty Policies and Procedures. If the appointment is to be divided among several departments, each must make an affirmative recommendation regarding the appointment. One department shall be identified as the principal sponsor of the recommendation for appointment for the purposes of 5.20.A.2. of these rules and this department shall be considered the ~~tenure~~ administrative home. The fraction of a divided appointment in a department and/or the ~~tenure~~ administrative home may be changed only by mutual agreement among the appropriate departmental executive committees, dean(s), and the individual concerned. The appointment must be at the same rank in each department.

7.03. RECRUITING AND APPOINTMENTS. (See UWS 3.02 and 3.03.)

A. An initial faculty appointment is an appointment granted to an individual who has not previously held a faculty appointment in the university. An initial appointment may be probationary or with tenure. The provisions of 7.14. and 7.15. of these rules apply to initial appointments with tenure.

B. Faculty recruitment and the selection of individuals to whom appointments may be offered is

the responsibility of the departmental executive committee. The procedures shall be consistent with UWS 3.02.

C. Faculty appointments shall be offered only in accordance with the provisions of UWS 3.03 and these regulations and with appropriate administrative approval.

D. Each person to whom a faculty appointment or reappointment is offered shall receive notification of that appointment in accordance with UWS 3.03. In the case of joint appointments, this notice shall be issued by the ~~tenure~~ administrative home department but must include information as to the nature and implications of the joint appointment and the role of all involved departments in guidance, oversight, and evaluation.

E. A part-time appointment is an appointment for the equivalent of an academic year at one-half time or more, but less than full-time, in the university faculty as defined in 1.02, of these rules.

F. If tenure for a part-time or jointly appointed faculty member is recommended by a department, the following procedures shall be followed:

1. Deans and divisional executive committees shall follow the normal tenure review procedures, as provided elsewhere in this chapter.
2. A department is responsible for making clear to the dean, to the divisional executive committee, and to the appointee, what continuing commitment would be assumed by granting tenure (see 7.19. of these rules).

[7.04. – No changes proposed.]

#### 7.05. GUIDANCE AND ANNUAL EVALUATION FOR PROBATIONARY FACULTY.

A. The departmental executive committee shall establish procedures for the guidance and annual evaluation of each probationary faculty member and for the review of probationary appointments (see 7.06. of these rules). A written description of these procedures shall be filed with the relevant dean(s), the secretary of the faculty, and the provost. This must include specification of the voting rules of the departmental executive committee and how joint appointments will be handled. A copy of this description and the departmental and divisional executive committee criteria for the granting of tenure (see 7.14.C. and D. of these rules) shall be given to each probationary faculty member at the time of ~~his/her~~ their appointment.

B. Primary responsibility for the guidance of the probationary faculty member shall be assigned to one or more members of the departmental executive committee. The departmental executive committee shall ensure that guidance of probationary faculty members includes implementation of 5.21.E.

1. It is desirable that the faculty member(s) assigned responsibility for the guidance of the probationary faculty member remain the same throughout the probationary appointment unless the probationary faculty member requests a change.
2. In some circumstances it may be desirable to formally include tenured faculty from outside the department in the guidance of probationary faculty, for example in interdisciplinary fields in which no member of the department has expertise close to that of the probationary faculty member.

3. Guidance of probationary faculty should include information and advice on the areas of responsibility of tenure-track professors: research, teaching, service, and outreach. Experts outside the department who can provide specific information and advice on research, teaching and pedagogical effectiveness, and service and outreach should be consulted when appropriate as determined by the probationary faculty member and/or the guidance committee. Guidance committees should monitor teaching responsibilities and service assignments for appropriateness of workload and match of assignment to the probationary faculty member's expertise.
4. Guidance of probationary faculty with joint appointments should clearly and specifically indicate how mentoring and review committees will be constituted, which department is the ~~tenure~~ administrative home, how the votes and other input of each involved department will be incorporated, and any other information necessary to ensure that probationary faculty with joint appointments have the same support and guidance as other probationary faculty.

C. Responsibility for developing annual evaluations shall be assigned to a committee made up of members of the departmental executive committee. The probationary faculty member shall be informed of the membership of ~~his/her~~ their oversight committee. In the case of joint appointments, executive committees shall establish procedures to coordinate the annual evaluations of probationary faculty members, including whether there will be one review committee with members from all involved departments or multiple committees and the specific role of all involved executive committees. At least once each year, one or more members of the oversight committee and the department chair shall discuss with the probationary faculty member departmental and divisional committee expectations and ~~his/her~~ their progress toward tenure. The oversight committee shall ensure that the probationary faculty member's file contains all material relevant to effective evaluation including teaching evaluations and copies of publications.

Membership of the oversight committee may change from year to year at the discretion of the department. This policy allows either for separate guidance and oversight committees or for a single committee.

D. Each year, the oversight committee shall provide the departmental executive committee(s) with an annual evaluation of the progress of the probationary faculty member. When a probationary faculty member has been granted an extension(s) of the tenure clock, the annual evaluation should be conducted in the context of the individual's progress toward a tenurable record given the time remaining on the adjusted clock. Following discussion of the evaluation by the executive committee(s), a written evaluation approved by the executive committee shall be given to the probationary faculty member. In the case of joint appointments, this written evaluation shall be issued by the ~~tenure~~ administrative home department. The probationary faculty member may respond to the evaluation in writing or may, upon request, address the executive committee regarding the evaluation.

E. The oversight committee shall have primary responsibility, in consultation with the probationary faculty member, for the collection of supporting material and preparation of necessary documentation prior to executive committee review of the probationary appointment (see 7.06. of these rules).

[7.06. – No changes proposed.]

#### 7.07. DEPARTMENTAL PROCEDURES FOR ACTION ON PROBATIONARY APPOINTMENTS. (See UWS 3.06 and 3.07.)

A. All probationary faculty members whose appointments are to be acted upon shall be notified of that fact in writing by the department (or departments, as appropriate, in the case of joint appointments). This preliminary notice should normally be provided early in the semester that precedes the semester in which the action will be taken; an exact date for the meeting of the executive committee need not be specified in the preliminary notice. The notice shall invite the faculty member to submit relevant material for consideration by the executive committee or a subcommittee thereof.

B. As soon as the date is set for the meeting of the executive committee at which action on a probationary faculty member's appointment is to be considered, the probationary faculty member shall be notified. The notice shall inform the faculty member of ~~his/her~~ their right to require that the meeting be open. Under no circumstances shall this notification be given less than twenty days before the meeting, except with the agreement of the probationary faculty member.

C. At the meeting specified in B. above, other persons may be invited by the executive committee to participate. This shall be a closed meeting, unless an open meeting is requested by the individual under consideration. In an open meeting, the individual under consideration may attend, but does not have the right to participate in the debate at this meeting unless specifically permitted by departmental rule.

D. The faculty member concerned shall be notified in writing of the decision of the executive committee within five working days. The notification must further state that the faculty member will be given, upon request, the specific reason(s) for the decision in writing and a reconsideration of the decision.

E. Upon written request by the faculty member concerned, within fifteen days of the receipt of the written notice of the decision, the departmental chair shall provide within thirty days a written statement, which has been approved by the executive committee, indicating its reasons for the decision. The faculty member shall be advised that this statement constitutes a confidential personnel document.

F. A department is responsible for making clear to the dean, to the divisional executive committee, and to the appointee, especially in the case of joint appointments, what the expectations and criteria for promotion are.

[7.07. – 7.17. No changes proposed.]

#### 7.19. OBLIGATION TO FACULTY MEMBERS FOLLOWING APPOINTMENT: CONTINUING COMMITMENT.

A continuing commitment, shared between the department or equivalent unit and the university, is incurred upon the appointment of a probationary or tenured faculty member. For tenured members of the faculty, that continuing commitment extends for as long as the faculty member

holds tenure. For probationary faculty members, the term of the continuing commitment coincides with the term of appointment.

A. In the case of an appointment that is less than full-time, the continuing commitment is for the same fraction as the appointment.

B. In the case of an appointment that is divided among several departments or units, the fraction of the continuing commitment assignable to each shall be specified. The department identified in 7.02. of these rules as the principal sponsor of the appointment shall be the tenure home regardless of appointment percentage. The ~~tenure~~ administrative home and the total continuing commitment or its division among departments or units may be changed only by agreement among the individual, the departmental executive committees, and the deans involved.

C. By agreement of the faculty members, the departments, and the dean, the level of departmental activity of the individual may differ from the continuing commitment in any given year. Such an occasional deviation does not in itself alter the continuing commitment. Similarly, a minor change in the division of a joint appointment to accommodate differentials in salary or other support would also not in itself alter the continuing commitment. Neither of these situations would require the procedures or approvals of section 5.14. of these rules.

D. In the event of the dissolution of a department holding a continuing commitment to a faculty member, an effort shall be made to identify an alternative department which is mutually suitable and which will assume the continuing commitment of the former department. If no such department can be found, the continuing commitment will be assumed by the university.