

Supplemental Instructions
APPOINTMENTS: FACULTY AND RESEARCH
2020-21

University policies for an appointments are presented in the Faculty Handbook, Chapter 3 (<https://case.edu/facultysenate/>). 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 Forms and Documents web page (<https://artsci.case.edu/forms/>).

The dean grants permission for any faculty search. For a search at the rank of Instructor, Senior Instructor, Assistant Professor, Associate Professor, or Professor, permission is granted via a memo which also provides guidelines for the process and specific information on advertising, applicant interviews, campus visits, spending limitations, and diversity and affirmative action requirements, etc.

Documentation for an appointment at the rank of Instructor, Senior Instructor, Assistant Professor, Associate Professor, Professor, Research Associate Professor, or Research Professor should be sent to Robert Utrup, Executive Aide to the Dean. Documentation for all other faculty or research appointments should be sent to Timerra Jung, A&S Director of Human Resources. All required documentation must be included in the appointment file and 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.

Confidentiality at All Levels

During any faculty search, all search committee members and all department faculty and staff shall conform to standard principles of confidentiality. All are urged to bring the position announcement to the attention of qualified candidates. However, 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. Files pertaining to a search are to be available only to eligible search committee members, appropriate department voting faculty (or voting members of a special appointment committee if one has been appointed by the dean), and appropriate departmental staff members as necessary at relevant times during the process. Only the chair of the search committee—and, at the appropriate stage, the department chair and the dean—may communicate with applicants and viable candidates about the search. Inappropriate contact from others can compromise the process and jeopardize the candidacy. Confidentiality by all participants should be strictly maintained before, during, and after the process has been completed, including retention and storage of file materials.

Search Committees

Once a search for a faculty position has been authorized, the department may self-establish a search committee. The search committee may include members from other departments or units, and from CWRU's affiliated institutions. In such cases, it is the department chair's responsibility to fully inform the search committee members of all relevant information, procedures, due dates, reporting requirements, etc. Non-departmental members of the search committee may vote during the *search* phase, but may not participate in subsequent rank and tenure decisions unless specifically authorized by the dean.

The role of any search committee, whatever its composition, is to locate qualified applicants, review application materials, and engage in consultations with department members and other relevant constituencies. Once the slate of candidates has been established from the applications received, the search phase and the role of the search committee typically is complete.

Faculty Search Ads

Prior to beginning a search, the department should develop a plan for attracting a diverse pool of applicants and is strongly advised to consult with the Office of the Dean and the university Office of Inclusion, Diversity, and Equal Opportunity (OIDEO) on the development of such a plan.

All ads for faculty positions must include the rank; information on the position status, i.e., tenure-track or non-tenure-track; description of the research and teaching qualifications as appropriate for the rank; and duties (teaching load, advising, etc.). An ad for a search at the Instructor or Senior Instructor level must identify the two areas of focus from research/teaching/service. It is also important to include a date by which submitted applications will receive full consideration as well as electronic addresses and/or links for replies. Unless the dean has approved otherwise, all faculty searches (as well as special faculty and postdoctoral positions) should use the Interfolio Faculty Search interface. The department should contact the Manager, Operations and Strategic Initiatives to obtain an IFS application link to include in the draft text. (At that time, needs for IFS access and training will be assessed, and the Manager will assist the department's IFS administrator in creating the ad in IFS.)

Approval of any ad text is usually a three- or four-step process and must be completed before any ad may be posted or otherwise disseminated:

1. The dean will review the draft ad text and will .
2. The department will be notified when the dean OKs the draft text. The department shall forward the dean-reviewed draft to the Faculty Diversity Officer for EEO/AA review (that office can provide the appropriate required statement to meet EEO/AA and ACES requirements). Consult with that office regarding any other forms that are required at that time.
3. Report the outcome of the OIDEO review to the dean. If any changes in the draft ad are suggested by that office, an amended draft must be prepared and further reviewed by the dean.
4. The dean will simultaneously notify the department and the Faculty Diversity Officer with final approval of the ad text (including a cc to the Manager, Operations and Strategic Initiatives, who will coordinate with the department IFS administrator to activate the IFS application link).

The following information regarding faculty ads has been provided by the university's Office of Foreign Faculty and Scholars: In September 2011, the Department of Labor released a change to special handling labor certification practices (the first phase of green card certification for university teachers). Previously DOL required a printed copy of an ad in a national journal. As of September, 2011 universities are now permitted to use an electronic or web-based national journal to satisfy the requirement. The electronic job listing must be viewable to the public without payment of subscription and/or membership charges. The ad for the job opportunity for which certification is sought must be posted for at least 30 calendar days on the journal's website. Documentation of the placement of an ad in an electronic or web-based national professional journal must include evidence of the start and end dates of the ad placement and the text of the ad. Persons responding to the ad can do so via postal or electronic means.

Candidate Screening via Telephone or Video Conferencing

Telephone or electronic video conferencing is a useful instrument for casting a wide net in the search phase. 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 a mechanism by which search committees can have extended discussions with applicants before arriving at a list of candidates for campus visits. The search committee chair must secure approval from the dean before any arrangements for such conferencing is arranged.

The college's Director for UTech Support Services, 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 applicant semifinalist during the applicant stage. As long as all applicants 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 applicant's dissertation or most recent work.

Campus Visits

Any campus visit associated with a faculty hire at the rank of Instructor, Senior Instructor, Assistant Professor, Associate Professor, or Professor must have prior approval by the dean. For each authorized search, three candidates may be identified to interview on campus. Before issuing any invitation for a campus visit, the department chair (not the chair of the search committee) is to send the dean (via email) to include:

- a detailed account of the committee's efforts to date;
- the short list of three suggested candidates presenting their qualifications and explaining how each would contribute to the vision and goals of the department, the college, and the university;
- the department's initial ranking preference.
- Representation of underrepresented groups should be carefully considered in determining the list of candidates to be interviewed and the memorandum should discuss
- the department's affirmative action efforts to this end.
- If the short list does not include at least one minority or female candidate (or at least one male candidate in fields where women predominate), the dean will explore with the department chair the committee's affirmative action strategies, the nature of the pool, etc., and may request additional efforts to diversify the list before authorizing invitations for campus visits. Please refer to the paragraphs labeled "Affirmative Action" later in this document.

Each candidate for a faculty hire at the rank of Instructor, Senior Instructor, Assistant Professor, Associate Professor, or Professor is to have an interview with the dean or his designate. Please establish visit dates for all campus interviews, then contact Robert Utrup at the earliest possible time to schedule all such candidate interviews.

Discussions with the 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 department chair, and between the department chair and the dean. Throughout this phase, it is paramount that the department chair clearly maintains the understanding with the finalist that the chair is in a position only to make a *recommendation* to the dean on matters of rank, tenure status, salary, startup expenses, start date, etc. On an as-requested basis, the dean may prepare a Letter of Intent once the *final* salary, startup costs, start date, academic rank, and tenure status all have been determined. This document states the rank, tenure status, and department affiliation of the expected official offer as well as information on the start date, salary, startup funds,

relocation procedure, and the required steps in the university process before an official Letter of Appointment can be issued.

Letters from External Evaluators

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 appointments at the rank of senior instructor, associate professor, or professor, the department 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. Any name recommended as an external evaluator must be accompanied by the person’s affiliated institution, current rank, and title. Emeritus faculty may be considered if evidence is provided to ensure that the person is still active in his/her field. (Names from both sources should be included.) The chair may recommend names as primary 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, and tenure status if applicable, 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://artsci.case.edu/forms/>). The dean’s office shall review/approve the draft letter to the external evaluators.

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 in order to maintain the required balance or near-balance of evaluators. When submitting the file, at least half of the external letters must be from completely independent evaluators. Please refer to the Provost’s Supplemental Instructions and to the Guidelines for Selection of External Evaluators....” for more detail.

Each external evaluator letter should be accompanied by the author’s biographical information. 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 access the candidate’s accomplishments. Biographical information that includes the evaluator’s credentials and appointment history often can be found on a university website or similar source. If an evaluator submits a full-length CV, only the pages conveying the author’s credentials and appointment history, often the first 1-3 pages, should be included with the file. The professional biosketch should not be a paragraph retyped from the website or CV, or a website listing that does not include the evaluator’s credentials and academic appointments.

Letters from Research Collaborators

The provost’s office has provided the following information regarding letters from research collaborators. If the candidate’s research program is highly collaborative in nature, it may be necessary to document the candidate’s independent or unique contribution with letters from research colleagues who can describe the candidate’s role in group efforts. Letters from research collaborators (including collaborators within CWRU) are important only for the reason described. Any name recommended as a research collaborator must be accompanied by the person’s affiliated institution, current rank, and title. Emeritus faculty may be considered if evidence is provided to ensure that the person is still active in his/her field. A form for listing the names of all approved research collaborators and a sample letter that includes a required statement on confidentiality are available on the college’s website (<http://artsci.case.edu/forms/>). The dean’s office shall review/approve the draft letter to the research collaborators.

Each research collaborator letter should be accompanied by the author's biographical information. Biographical information that includes the collaborator's credentials and appointment history often can be found on a university website or similar source. If a collaborator submits a full-length CV, only the pages conveying the author's credentials and appointment history, often the first 1-3 pages, should be included with the file. The professional biosketch should not be a paragraph retyped from the website or CV, or a website listing that does not include the collaborator's credentials and academic appointments.

Letters from Teaching Evaluators

For appointments at the rank of senior instructor (if teaching is one of the two areas to be included in the position), 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 former students and others (including colleagues) able to comment on the candidate's teaching abilities.

Former students may be selected by the candidate and at random by the department chair 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 form for listing the names of all solicited teaching evaluators and a sample letter that includes a required statement on confidentiality are available on the college's website (<http://artsci.case.edu/forms/>). The dean's office shall review/approve the draft letter to the teaching evaluators. Each letter of request must clearly state the rank, and tenure status if applicable, for which the finalist is to be considered. All those who were asked to provide an evaluation should be listed in the file, not just those who respond. The list should provide names; other identifying information (Social Security numbers, student ID numbers) should not be included.

Course Evaluations

For appointments at the rank of senior instructor (if teaching is one of the two areas to be included in the position), associate professor, or professor, a narrative overview of statistical data from course evaluations from the most recent three years of teaching shall be prepared by the chair or the chair's designate and included in the file. The candidate shall not prepare this document. In addition to the narrative text, the overview should include a list of all the courses taught by the candidate (course number and title). The overview shall note the author and the date of preparation. Individual statistical data sheets should not be included in the file, but should be kept on file in the department office and made available to the appropriate evaluating body if requested.

Faculty Vote

For departments with fewer than four eligible faculty members, the chair is to consult with the dean on the makeup of a separate rank and/or tenure committee. The dean will make the official appointment following that consultation.

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 appointments at the rank of associate professor or professor, please note that separate votes should be taken on faculty rank and award of tenure.

Abstentions

The provost's office 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.

Vote Tally

Use this form to record the votes for rank and/or tenure on appointments for associate professor, professor, or senior instructor. 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.

Chair Evaluation

The chair shall prepare a letter with a thorough summary of the discussion in the areas of research, teaching, and service, as appropriate to the file being prepared, and provide a vote count (for, against, and abstain) that matches the number of eligible voting faculty including the chair. Before transmission, this letter shall be made available for inspection by resident faculty members who participated in the vote. If a faculty member believes the letter to express inadequately the deliberations, he or she may send independently to the dean a statement of such opinion, which shall be appended to the chair's letter for higher reviews.

Appointment Form

Each appointment requires a completed *College of Arts and Sciences Appointment Form*. If an appointment (at any rank) involves teaching responsibilities, 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, typically in the form of an official transcript, 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.

Late requests for temporary faculty appointments 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 dean.

New Appointment Cover Sheet

This form must accompany any appointment file for the rank of senior instructor, 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 Startup 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 startup needs for a finalist for a permanent faculty position. Figures for office renovation or furnishings should be obtained from the college's Director of Facilities Management. Figures for computer-related equipment and peripherals should be obtained from the A&S Manager of UTech Support and Security. Final approval will be issued by the dean.

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 Forms and Documents page (<http://artsci.case.edu/forms/>). Proof of the terminal academic degree (e.g., PhD or MFA), via an official transcript received directly from the registrar's office of the degree-granting institution, is required for faculty appointments. However, if a candidate is awaiting award of his or her terminal degree, a letter from the dean of graduate studies of the degree-granting institution stating that all requirements for the degree have been completed is acceptable. A diploma or a copy thereof is NOT 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 CV, 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 tenure-track (i.e., tenured and pretenure) and non-tenure-track faculty for the next academic year normally 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

The Office of Inclusion, Diversity and Equal Opportunity informs us that, as a federal contractor, the university must maintain an Affirmative Action Program in accordance with the Department of Labor and the Office of Federal Contract Compliance Programs. In compliance with CWRU's Affirmative Action Program, all search committee members are required to attend training prior to conducting interviews. The individual(s) completing the search forms and all individuals on a search committee are

to attend training. For information on training dates, and scheduling for your department, please visit (<https://case.edu/diversity/>).

Additionally, please contact the OIDEO 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 CV to the appropriate AA/EEO officer as soon as possible. PLEASE NOTE: The memo confirming that the finalist has accepted the position is to be completed by the department chair 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 in 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.

Closing a Search

An unsuccessful search must be officially closed via a memo to the dean and the OIDEO. (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.

Appointment files (submitted in electronic format) are due in the dean's office:
November 30, 2020 (for Spring 2021)
April 16, 2020 (for Summer 2021)
June 1, 2021 (for Fall 2021).

Related Documents posted on A&S Forms and Documents web page (<http://artsci.case.edu/forms/>):

A&S Required Documents for Faculty and Research Appointments
A&S Suggested Timeline for Sr-level Faculty Appointments for AY 2021-22
A&S Appointment Form – Fillable
A&S Form – Startup Checklist – Fillable
A&S Form – Cover Sheet – New Appointment – Fillable
A&S Form – Vote Tally – New Appointment – Fillable
A&S Form – List of External Evaluators – New Appointment
A&S Form – List of Teaching Evaluators – New Appointment
A&S Form – Lists of Research Collaborators – New Appointment
A&S Sample Letter – External Evaluators – New Appointment
A&S Sample Letter – External Evaluators for Sr Instructor – New Appointment
A&S Sample Letter – Teaching Evaluators – New Appointment
A&S Sample Letter – Research Collaborators – New Appointment
CWRU Guidelines – Appointment of Tenure-track Faculty Prior to Completion of the Terminal Degree
A&S Guidelines – Selection of External Evaluators
A&S Guidelines – Process for Transfer of a Faculty Appointment within the College of Arts and Sciences
A&S Policy – Appointment a Graduate Student as Instructor-of-Record
A&S Policy – Research Faculty Appointments
Descriptions of Research Positions
Faculty Titles and Definitions