Rice University Policy No. 201

FACULTY APPOINTMENTS, PROMOTIONS, AND TENURE

Note: Faculty appointed on or after July 1, 1995 are governed by Policy No. 201 and Sections 7 & 8 of the Policy No. 201 are applicable to all faculty regardless of appointment date. See also: Guidelines for Faculty Appointments, Promotion, Tenure and Renewal of Contracts.

Applicability

• Sections 7 and 8 of this revised policy apply immediately to all faculty regardless of appointment date.
• All sections of policy 201-87 remain in effect for faculty appointed before July 1, 1995.
• All sections of policy 201 apply to faculty receiving appointment letters on or after September 9, 1997.
• Generally, all sections of policy 201 apply to faculty appointed on or after July 1, 1995 and before September 9, 1997. However, faculty appointed during this period may elect to remain covered by policy 201-87 except for sections 7 and 8 of the revised policy. A decision to remain covered by the terms and conditions of the earlier policy must have been delivered in writing to the President's Office prior to December 31, 1997.

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1. Academic appointments

Academic appointments may be in either the professorial ranks (assistant professor, associate professor, and professor), research ranks (faculty fellow, senior faculty fellow, and distinguished faculty fellow), or the non-professorial ranks (instructor, lecturer, artist teacher, artist in residence, preceptor, critic, and other special appointments). All tenure track faculty appointments are subject to the approval of the Board of Trustees of Rice University (hereinafter "the Board").

Appointments in the professorial ranks commonly involve responsibilities in three areas: (1) research, scholarship, or creative work, (2) teaching and mentoring, and (3) university service (through committee service, advising, or other duties). Appointments in the research and non-professorial ranks seldom involve responsibilities in all three areas and may involve roles not usually performed in the professorial ranks.

2. Tenure

2.a. Definition of tenure

Tenure is the privilege of holding an appointment as an associate professor or professor until retirement, resignation, or termination for cause. (See 8.a of this policy.)

2.b. Who may be awarded tenure

Faculty in the professorial ranks may be awarded tenure after appointment at or
promotion to the rank of associate professor or professor; faculty in the research and non-professorial ranks are appointed for specified numbers of years and cannot be awarded tenure.

2.c. Review for tenure prior to initial appointment

Before a new faculty member is appointed to a position with tenure, the Promotion and Tenure Committee in consultation with the department, the dean, the provost, and president will review the candidate's dossier, which must include information regarding the candidate's ability as a teacher and scholar.

2.d. When tenure is effective

Tenure for a faculty member becomes effective only after the Board of Trustees has approved the president's recommendation for tenure.

3. Terms of appointments

3.a. Tenured Positions: professorial ranks

Positions at the rank of professor and associate professor are usually conferred with tenure. The privilege of tenure continues until retirement, resignation, or termination for cause. (See 8.a.)

3.b. Untenured Positions: professorial ranks

3.b.1. Initial appointment to professor or associate professor without tenure

Occasionally an initial appointment to professor or associate professor may be made without tenure. The initial appointment term of a professor or associate professor without tenure shall not exceed three years.

3.b.2. Tenure clock for untenured professors and untenured associate professors

The "tenure clock" is the schedule for the probationary period during which a person in the professorial ranks becomes eligible for tenure review. A professor or an associate professor who was appointed initially without tenure may be reviewed for promotion to tenure at any time during the first seven years, but no later than the seventh year. If he or she is not awarded tenure by the end of the seventh year, the eighth year will be the final year in the professorial ranks. No review for promotion is made in a terminal year. The individual cannot be appointed to any other professorial rank.

3.b.3. Initial appointment to assistant professor

An assistant professor's initial appointment shall be for four years

3.b.4. Tenure clock for assistant professors

The "tenure clock" is the schedule for the probationary period during which a person in the professorial ranks becomes eligible for tenure review. When an
individual who has served at other institutions at a professorial rank is employed at Rice University, prior service at other institutions will not be counted in the tenure clock. The date on which the tenure clock begins must be specified in the official offer letter of persons who are appointed to the rank of assistant professor in mid-year.

The clock for assistant professors is as follows:

<table>
<thead>
<tr>
<th>initial period</th>
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<tbody>
<tr>
<td>appointment and assumption of duties</td>
<td>year 1</td>
</tr>
<tr>
<td>the first review</td>
<td>year 3</td>
</tr>
<tr>
<td>renewal (second appointment) or end of notification of terminal year</td>
<td>year 3</td>
</tr>
<tr>
<td>second period begins</td>
<td>year 5</td>
</tr>
<tr>
<td>junior research leave</td>
<td>year 4 or 5</td>
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<tr>
<td>second review</td>
<td>year 7 or earlier</td>
</tr>
<tr>
<td>promotion or notification of terminal year</td>
<td>no later than year 7</td>
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</table>

Assistant professors are appointed for an initial contract of four years. The first review occurs in the third year. If the assistant professor is reappointed for a second period, he or she may take a paid, one-semester junior leave devoted entirely to research, scholarship, or creative work, usually in the fourth or fifth year. If the assistant professor's contract is not renewed, the fourth year of the initial appointment will be the terminal year. No review for promotion is made in a terminal year.

An assistant professor's second contract is for four years. Although an assistant professor may request review for tenure at any time; this review would normally take place in the sixth or seventh year. All departmental decisions related to tenure must be communicated to the Committee by the dean. If the assistant professor is not promoted by the end of the seventh year, the eighth year will be the final year in the professorial ranks. In a terminal year no further review for promotion is made. The individual cannot be appointed to any other professorial rank.

(See Policy No. 204, "Faculty Family, Medical, and Professional Leaves," and Policy No. 208, "Sabbatical Leaves of Absence.")

3.6.5. Part-time professorial positions

Part-time professorial positions may be at the rank of associate professor or professor. These untenured or tenured appointments are rare and usually involve
joint appointments at other institutions. The initial appointment term of a part-time faculty member must be specified in the official offer letter signed by the president. The appointment may be renewed without regard to total length of service. Appointment to a part-time tenure-track position carries no implication of eligibility for promotion or candidacy for any other position.

3.b.6. Appointment to professor emeritus or emerita

When a tenured associate professor or professor retires, he or she may be appointed to the status of emeritus professor. This honorary status is permanent and does not require teaching or, except through supplemental appointments, entitle the person to support such as clerical help, office space, lab space, and so on.

Supplemental appointments. Some emeritus faculty are also hired to teach courses or conduct other projects. The terms and conditions of these supplemental part-time appointments do not involve a change of title. The person remains an emeritus professor but may also take on an administrative title during the appointment, such as research professor, project director or department chair. The letter of appointment must contain the terms and conditions of the supplemental appointment. If the appointee accepts the offer, he or she shall affirm that he or she has read, understood, and accepted the terms and conditions of the appointment by signing the copy of the official offer letter and returning it to the president of the University. Supplemental part-time appointments and any subsequent reappointments are subject to the approval of the Board.

3.c. Untenured positions: appointment to research ranks (faculty fellow, senior faculty fellow, and distinguished faculty fellow.) (See Policy 327).

From Policy 327: Research faculty positions are designated as faculty fellow, senior faculty fellow, and distinguished faculty fellow in ascending order of seniority. These are normally twelve month, full-time positions that closely parallel the corresponding academic ranks of assistant professor, associate professor, and professor with three important exceptions: research positions carry no tenure, no obligation for financial support from the University, and no classroom teaching commitment.

Term of Appointment. Appointments to any rank of research faculty are made for a specific period of time, usually no less than three nor more than five years. Renewals of appointments are contingent upon satisfactory performance as determined by the members of the center, institute, laboratory, or department as appropriate; in addition, the availability of external funds to support the research is also required.

(For additional information, please see Policy 327).

3.d. Untenured positions: non-professorial ranks (such as instructor, part-time appointment, special appointment, adjunct, lecturer, visiting appointment)

3.d.1. Instructors
The position of instructor is untenured. The initial appointment term of an instructor shall be for up to two years. An instructor's initial appointment may be extended, but the person's total length of service in the position of instructor shall not exceed eight years. Appointment as an instructor carries no implication of eligibility for promotion or candidacy for any other position.

3.d.2 Acting assistant professors

Assistant professors appointed for a four-year term contingent on receiving their Ph.D., who do not receive their degree before November 1 of any academic year, will be appointed as an acting assistant professor as described in Policy 203. Time spent as an acting assistant professor will not count towards the tenure clock.

3.d.3. Part-time positions (non-professorial ranks)

The initial appointment term of a part-time faculty member in the non-professorial ranks may be up to three years. The appointment may be renewed without regard to total length of service. Appointment to a part-time position carries no implication of eligibility for promotion or candidacy for any other position.

3.d.4. Special appointments

Individuals may be appointed in the non-professorial ranks to academic positions that merit distinctive titles describing their special functions in the University. Such titles include artist teacher, artist in residence, composer in residence, critic, clinical faculty, and others that may, from time to time, be created. Special appointments do not involve the same duties as professorial appointments. Special appointments are untenured. Initial appointments in special positions may be made for up to two years and renewed in increments of up to three years without regard to total years of service.

3.d.5. Visiting appointments

Persons who hold a professorial or non-professorial academic appointment at another institution may be invited for a visiting appointment at a comparable rank at Rice University. The terms and conditions of a visiting appointment must be approved by the chair of the department in which the person will be visiting, the dean, the provost, and the president of Rice University. The president shall send the offer letter.

Except in rare circumstances, the terms and conditions of a visiting person's contract at his or her home institution must provide for that person to continue in employment there after the visiting appointment at Rice University expires. Visiting appointments automatically terminate at the end of the term of appointment. No formal notice of termination will be given.

3.d.6. Lecturers

Lecturers may be either full-time or part-time faculty members whose principal
3.d.7. Adjunct appointments

The term "adjunct" indicates that the appointment, whatever the title, is an unpaid position and does not carry tenure. Thus there are adjunct lecturers, adjunct instructors, and various other adjunct faculty who provide important benefits to students by contributing to the research and instructional programs of the University in various ways, including teaching courses. All adjunct appointments may initially be for up to two years and may be renewed in increments of up to three years without limitation on total service. No formal notice of non-renewal need be given.

3.d.8. Professor in the Practice

Occasionally Rice has the need to staff certain courses or teaching programs that are not easily staffed by tenure-track faculty but which are important to the university. A new non-tenure track, non-tenure eligible faculty appointment is established to fill specific and important programmatic instructional needs of the university. These faculty positions are titled in the style “Professor in the Practice of (Field).” The number of such positions will be limited.

These positions are akin conceptually to clinical academic appointments made in law, medical, and other professional schools. These appointments are intended for individuals who, by virtue of their credentials and extensive practical experience, bring distinctive insight and skill to teaching in various educational programs.

From time to time, at the request of a school, the President may appoint a person to the title of “Professor in the Practice of (Field),” such as, for example, Professor in the Practice of Architecture. These appointments are made for limited periods of up to three years and may be renewed in increments of up to three years without limitation on total service, but do not carry tenure and are not tenure eligible. These individuals participate in classroom and other teaching but do not serve as Chair of thesis or dissertation committees or as principal investigators for research support.

The appointment letter for those hired with this title must include a description of their teaching duties and other responsibilities. It should also describe the procedures to be used for their annual review and evaluation.

These faculty practitioners are entitled to attend faculty meetings. Those designated as half-time appointments or greater, with two or more years in this position at Rice University, may vote on matters arising therein except those pertaining to tenure or exclusively to research. Existing voting faculty transferring to such a practitioner rank retain the above voting rights without the two-year
delay.

4. Offers and Acceptances

4.a. Approvals of offers

All professorial (tenure-track) appointments are subject to the approval of the Board of Trustees of Rice University.

4.b. Official offer letter

The official offer letter, signed by the president, must contain the terms and conditions of the appointment. The effective date and conditions of each academic appointment shall be stated in the offer letter. If the academic position is in the professorial ranks, two copies of the Policy 201 (Faculty Appointments, Promotion, and Tenure Policy) must accompany the official offer letter (and a copy), which shall be signed and sent by the president of the University.

4.c. Acceptances

If the appointee accepts the offer, he or she shall affirm that he or she has read, understood, and accepted the terms and conditions of the appointment by signing the copy of the official offer letter and one copy of Policy 201-97 and returning them to the president of the University.

5. Renewals

5.a. Schedule of notification for professorial and non-professorial academic appointments

Written notice of decisions about appointment renewals or extensions shall be given before appointments expire to faculty members who do not hold tenured positions, in accordance with the following schedule:

<table>
<thead>
<tr>
<th>Condition</th>
<th>Date of Notification</th>
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<tbody>
<tr>
<td>if the appointment expires at the end of the academic year</td>
<td>not later than March 15 of the first academic year of services</td>
</tr>
<tr>
<td>if the person has held two or more consecutive one-year terms or if the appointment was for a two-year term</td>
<td>not later than December 15 of the academic year in which the appointment expires</td>
</tr>
<tr>
<td>if the appointment was for more than a two-year term</td>
<td>at least one year before the date on which the appointment expires</td>
</tr>
<tr>
<td>if the appointment was a visiting or adjunct appointment</td>
<td>no formal notification</td>
</tr>
</tbody>
</table>

5.b. Renewals of academic appointments in the non-professorial ranks

The performance of persons who hold academic appointments in the non-professional ranks must be documented with written evaluations that are reviewed by the department.
chair and the dean of the division. The review period will vary depending on the length of the appointment, every person must be reviewed before reappointment.

6. Promotions of persons of various ranks and status

6.a. As part of the continuing evaluation of the professional growth of each teaching member of the faculty, department chairs will hold a performance review with all departmental faculty according to the schedule detailed in Policy 214.

6.a.1. Promotion of associate professors with tenure

All associate professors with tenure who have held this rank for less than nine years will be reviewed at least every three years by their departments. A copy of written evaluations will be given to the associate professor being reviewed.

All associate professors with tenure who have been at that rank for more than nine years will be reviewed annually by their department chairs, who will forward their written evaluations to the dean. A copy of this evaluation will be given to the associate professor being reviewed. The dean will discuss the performance of all associate professors who have been at that rank for nine or more years with the Promotion and Tenure Committee each year to ensure that all faculty are making progress toward promotion and are being encouraged and supported to ensure their productivity.

Appointment to the rank of associate professor with tenure does not imply commitment to further promotion. Before an associate professor with tenure may be promoted, the department shall prepare a dossier according to the guidelines associated with this policy, including the candidate's record in teaching, scholarship, and service to the University. The tenured professors in the department shall evaluate this record.

If the tenured professors of the department evaluate the record as worthy of promotion, the department chair shall forward their recommendation to the dean, who shall evaluate the dossier and recommendation.

6.a.2. Reports by the dean

If the dean does not recommend the candidate for promotion, the dean shall report this action to the Committee in a timely fashion and discuss the decision with them. The dossier need not be forwarded.

If the dean recommends the candidate for promotion, the dean shall add a letter of recommendation and evaluation to the dossier and forward the entire package to the Committee.

6.b. Professorial ranks without tenure: promotion of a professor or an associate professor without tenure

The total length of appointment in professorial ranks without tenure shall not exceed eight years. A professor without tenure who has not been granted tenure as provided
6.c. Professorial ranks without tenure: promotion of an assistant professor

The "tenure clock" is the schedule for the probationary period during which a person in the professorial ranks becomes eligible for tenure review. The procedures that should be followed during the promotion review process are explained in the Promotion Guidelines.

Assistant professors are appointed for an initial contract of four years. The first review occurs in the third year. If the assistant professor is reappointed for a second period, he or she may take a paid, one-semester junior leave devoted entirely to research, scholarship, or creative work, usually in the fourth or fifth year. If the assistant professor's contract is not renewed, the fourth year of the initial appointment will be the terminal year. No review for promotion is made in a terminal year.

An assistant professor's second contract is for four years. Although an assistant professor may request review for tenure at any time; this review would normally take place in the sixth or seventh year. The results of all reviews related to tenure must be forwarded to the Promotion and Tenure Committee. If the assistant professor is not promoted by the end of the seventh year, the eighth year will be the final year in the professorial ranks. In a terminal year no further review for promotion is made. The individual cannot be appointed to any other professorial rank.

A timeline of an assistant professor's tenure clock is presented in sections 3.b.3. "Initial appointment to assistant professor," and 3.b.4 "Tenure clock for assistant professors." See also Policy No. 204, "Faculty Family, Medical, and Professional Leaves" and Policy No. 208, "Sabbatical Leaves of Absence."

7. Leaves of Absence and Effect on Tenure

7.a. Leaves without pay

A leave of absence from Rice University without pay is not counted in the eight-year limitation on service as an assistant professor if, due to the nature of the leave, the faculty member is unable to continue the pursuit of normal scholarly activities during that period. This extension must be requested in writing at the time the leave is requested. The provost, in consultation with the dean, will determine how such a leave will affect the timing of the review for promotion. All leaves for which normal research activities are continued will count towards the eight-year limitation.
7.b. Medical leaves

Medical leaves, including leave for pregnancy, are governed by Policy 204. If the leave causes an untenured faculty member in the professorial ranks to be unable to perform his or her scholarly or instructional duties for a total of 120 days or more in any twelve-month period, he or she may request in writing that the provost extend the tenure clock and contract period for one year.

7.c. Leaves for childbirth

A faculty member in the professorial ranks who gives birth while holding an appointment without tenure may request in writing to the provost that the tenure clock and contract period be concurrently extended by one year. The tenure clock may be extended for this reason only twice before the candidate is promoted.

To be considered for a second appointment, a faculty member must complete three years of eligible service and be approved in the usual penultimate-year review. Approval to set aside an academic year's work for care of a new child during the initial appointment does not automatically result in a renewal or second contract. Reappointment is subject to the normal review process, including departmental vote and review by the school dean, provost, and president. Likewise, promotion or awarding of tenure also will follow the regular review process.

8. Termination of Appointments, Sanctions Short of Termination, and Suspension

8.a. Dismissal sanctions

8.a.1. Dismissal of faculty members with continuous tenure, or with a special or probationary appointment before the end of the specified term, can only occur for cause. Adequate cause for dismissal must be related, directly and substantially, to the fitness of faculty members in their professional capacities as teachers or scholars. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights under U.S. law. Examples of behavior that, in their most serious form, may directly and substantially detract from the professional capacities of faculty members in their roles as teachers and scholars are fiscal malfeasance, plagiarism, dishonest research, and sexual harassment of the students, faculty, or staff of Rice University.

8.a.2. A faculty member will be dismissed for cause only after he or she has had an opportunity for a formal hearing by a faculty Hearing Panel convened for the express purpose of considering dismissal for cause. The president of the university or the president's delegate will initiate consideration of dismissal by presenting to the speaker of the elected Faculty Council a written statement of the allegations, framed with reasonable particularity, that, if established, would justify dismissal.

8.a.3. The Faculty Council, in consultation with the president, will establish the procedure to be followed during dismissal hearings, and any subsequent changes in that procedure affecting the authority of the president or Board of Trustees must be approved by the president or the Board. The speaker will insure an opportunity for
a dignified, careful, and fair hearing in which 1) written notice will be given to the faculty member of the administration's allegations against him or her, 2) the faculty member will be considered fit in his or her capacity as a teacher or scholar until proven otherwise, 3) the confidentiality of the proceedings will be guaranteed and the privacy of the faculty member will be respected, 4) an unbiased panel composed solely of faculty members will be chosen, and 5) an opportunity will be given the faculty member to be present throughout the hearing, to confront and question witnesses, and to give information in his or her favor. The hearing panel will reserve the right, at any time before, during, or after the formal hearing, to meet in closed session outside the presence of the parties or their representatives.

8.a.4. Following the hearing, the panel will weigh the evidence and give to the president a written report, containing both its findings and its recommendations. The president, after reaching a decision, will inform the Board of Trustees.

8.a.5. Other university policies may be established from time to time, such as the currently existing policies on sexual harassment and scientific misconduct, that provide for a range of potential sanctions and a committee to review allegations against a faculty member. A hearing held in accordance with those policies will not substitute for the dismissal hearing required in this policy as described above in paragraphs 8.a.2 through 8.a.4.

8.a.6. Pending a final report by the hearing panel, the administration may suspend the accused faculty member—for example, by placing the accused on administrative leave or assigning him or her to other duties in lieu of leave—only if continuance threatens harm to other persons, to the accused, or to university property. A faculty member who has been suspended pending a hearing receives full salary throughout the period of suspension. A suspension that is not followed either by reinstatement or by the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

8.b. Sanctions other than dismissal

8.b.1. If the behavior of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, or removal as principal investigator from an already funded research project, the procedures specified in paragraphs 8.a.2 through 8.a.4 will be followed.

8.b.2. If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a letter of reprimand, it will notify the faculty member of the reasons for the proposed sanction and provide an opportunity for the faculty member to persuade the administration that the proposed sanction should not be imposed.

8.b.3. A faculty member who believes that an imposed sanction that has been described as minor is actually a major sanction, or that a minor sanction has been unjustly imposed, may petition the Faculty Grievance Committee for such action as may be
appropriate. Grievances arising from normal salary administration will not be covered by this policy.

8.c. Termination because of discontinued programs or departments

Notwithstanding the provisions of 8.a. above, it is specifically understood that the University may terminate an appointment before the end of a specified term or while the appointment is held with tenure if the number of faculty members must be reduced as a result of a good faith discontinuance or reduction in size of all or part of a program, department, or other segment of University operations. Such a discontinuance or reduction will be implemented only after consideration of the educational, economic, and other relevant aspects of the decision, and shall include Board of Trustees review. An effort will be made to ease any dislocation experienced by the faculty members involved.

8.d. Resignation process

A faculty member who intends to resign at the end of the academic year should submit a written notification to the president of the University with a copy to the dean and department chair of his or her intention no later than April 15 of the year of resignation, or thirty days after receiving written notice of the terms of reappointment, whichever comes later.

8.e. Retirement process

A faculty member who intends to retire should notify the president of the University with a copy to the dean and department chair of his or her intention as early as possible, usually at the end of the academic year preceding the final year of service and no later than April 15 of the year of retirement, or thirty days after receiving written notice of the terms of reappointment, whichever comes later.

8.f. Termination process for non-tenured faculty in the professorial ranks in their first contract period who are not renewed for a second contract.

An untenured faculty member who has been reviewed during an initial contract according to the procedures specified in the guidelines associated with this policy and who has not been granted a contract renewal shall be notified no later than one year before the end of his or her initial contract that the contract will expire at the end of the next contract year and that no further review for promotion will be made.

8.g. Termination process for non-tenured faculty who are not awarded tenure or promoted with tenure by the end of the seventh year.

An untenured faculty member who has been reviewed according to the procedures specified in the guidelines associated with this policy and who has not been granted promotion and tenure by the end of the seventh year shall be notified no later than one year before the end of his or her present contract that his or her service in the professorial rank will be terminated at the end of the next contract year.
The date on which the seventh year ends must be specified in all contracts that do not start at the beginning of the academic year.

No reviews for promotion or contract renewal are conducted in the terminal year. The individual cannot be appointed to any other professorial rank if tenure is not awarded by the end of the seventh year.

David W. Leebron, President

Policy History

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March 1 and July 1, 1971
January 2, 1973
December 7, 1978
August 10, 1987
September 9, 1997
February 5, 2004
February 2, 2010